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ABSTRACT

Designed for new consultants or those who will be employing them, this manual focuses on principles of consultation and the use and training of consultants in colleges and universities. The role and functions of a consultant, the consulting process (from introductory to exiting stages), and three models of consultation are presented in the first section. They reflect the consultant's point of view and specific considerations that should be in the consultant's mind throughout a consulting relationship. The second section, on using and training consultants, proposes a procedure especially helpful for first-time users of consultation. This section also: describes consultation from the client's point of view (concluding with a discussion of the techniques for evaluating consultancies and the way in which this information can be used): identifies common purposes for which clients may seek consulting help (as advocate, reactor, evaluator, etc.): outlines processes used to train consultants and clients: and offers thoughts on values and ethical considerations for consultants and clients. Evaluation forms and questionnaires are included throughout the handbook. A brief glossary, a history of the Council for the Advancement of Small Colleges' National Consulting Network, and a 38-item bibliography are appended. (PHR)

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Daniel H. Pilon
William H. Bergquist

HE 012 195

CONSULTATION IN HIGHER EDUCATION

A HANDBOOK FOR PRACTITIONERS AND CLIENTS

by
Daniel H. Pilon
William H. Bergquist

Gary H. Quehl
General Editor

Jean Brodsky
Associate Editor

CASC

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To
Janice, Mark, Christopher and Margot Pilon
and
Victor and Frances Bergquist

Preface

The Council for the Advancement of Small Colleges is pleased to share the results of more than three years of experience with the CASC National Consulting Network in planning, matching consultants to the needs of client colleges, and training consultant/facilitators for the Council's annual National Institutes. *Consultation in Higher Education* is the sixth in a series of practical guides for college faculty and administrators who wish to improve the quality of teaching, learning, and management in their colleges.

The first two volumes in this series, *A Handbook for Faculty Development, Volumes 1 and 2*, detail approaches to instructional, organizational, and personal development. Both handbooks include exercises, instruments, designs, and conceptual models for starting and sustaining a successful faculty development program. These were followed 1 by the third in the series, *Developing the College Curriculum: A Handbook for Faculty and Administrators*. Growing out of a CASC project, this handbook delves into four significant aspects of curriculum development—its rationale, design, practice, and implementation—each researched and written by a noted authority. *Affirmative Action in the Independent College: A Practical Planning Model* outlines an equal opportunity action plan that can be implemented successfully at independent colleges. The fifth in the series, *Handbook for College Administration*, offers concise application of management theories and practices to college administration.

In providing practical insights and aids to colleges in these comprehensive areas, *Consultation in Higher Education* builds on these volumes and is a helpful tool for using consultants in these areas. Although other resources on the consulting field are available, this volume is unique in that it combines both theory and practice *and* is geared specifically to college and university consulting, which differs in important aspects from traditional management or corporate consulting.

Consulting in colleges and universities is a burgeoning field. This volume is intended to serve both the consultant—who wants comprehensive information on the theory of consultation—and the client—the user of consulting services—who may need help in selecting and getting the most benefit from consultation. Neophyte consultants and clients will find this volume an excellent introduction to consulting for educational institutions, while the more experienced will find their knowledge broadened substantially.

A great deal of money—institutional resources, government funds, and foundation grants—is spent annually on consultation. Unfortunately, many times neither consultants nor clients have special training for consultancies. This volume is a good place to begin for people new to consultation or who will be making substantial use of consultants. The Documents section at the end of each chapter provides valuable hands-on tools to help consultants and clients develop and practice needed skills. Although the authors have tried to minimize the use of technical language, readers are urged to refer to the Glossary contained in the Appendices section prior to reading this volume.

Consultation in Higher Education is divided into three sections. The first, "Principles of Consultation," deals with the theory of consulting. Chapter 1 discusses the role and functions of the consultant. Chapters 2, 3, and 4 examine the consulting process and reflect the point of view of the consultant and the specific considerations which should be in the consultant's mind throughout a consulting relationship.

The second section, "Using and Training Consultants," proposes a specific process which can be followed step-by-step—a procedure that first-time users of consultation will find particularly useful. Chapter 5 examines the consultation from the client's point of view by following a consulting sequence that parallels the sequence described in Chapters 2 and 3. It begins with the initial decision that an external consultant is appropriate in a particular situation and proceeds through the selecting and contracting process, as well as the consultancy itself. Chapter 5 concludes with a discussion of techniques for evaluating consultancies and the way in which this information can be used. Chapter 6 elaborates on Chapter 5 by looking specifically to some of the more common purposes for which clients may seek consulting help. Chapter 7 then addresses the processes which may be used to train consultants *and* to train clients to use consultants well. Finally, Chapter 8 offers some thoughts on ethical considerations for consultants and clients.

The Appendices section comprises the Glossary mentioned above, a brief history of the CASC National Consulting Network, and a Bibliography.

Throughout *Consultation in Higher Education*, the generic "he" has been used to refer to clients and consultants. This usage in no way implies a lack of awareness of or sympathy for the growing need for women to gain their rightful place, both in colleges and universities and in society as a whole. The intent is not to slight this movement but simply to avoid stylistic awkwardness and elaborate circumlocutions.

2 We would like to give special thanks to the many consultants and others who provided ideas and material for this volume. While the limitations of space preclude our mentioning them here, we greatly appreciate their contribution. Special mention must go to Kay Brian, former Assistant Director of the CASC Consulting Network, for her invaluable contribution to establishing the Network and maintaining its high level of quality. Also, very special appreciation is given to Jean Brodsky for her excellent work in coordinating the publication of this handbook.

Finally, we were privileged to receive financial support for this volume from the Shell Companies Foundation, Incorporated, in Houston, Texas. We are grateful to the foundation for its continuing support.

Gary H. Quehl
President
October 1979
Washington, D.C.

SECTION ONE: PRINCIPLES OF CONSULTATION

CHAPTER 1

The Role and Functions of a Collegiate Consultant

The Consultant in Higher Education

In the years since World War II much has been written about the emergence of "white collar" and "blue collar" workers. We are in an era where politics, religion, vocational choice, and consumption supposedly are determined, or at least strongly influenced, by the needs and values of the blue and white collar worker. Yet, in the late 1970s, a new breed of worker has emerged—the "turtleneck" worker: the consultant to corporations, social service agencies, hospitals, and schools. In a society that is becoming increasingly "temporary" in nature,[1] the consultant can work effectively with people in groups or organizations for brief and highly concentrated periods of time to help them solve problems.

The role of consultant is now flourishing in most social institutions and has recently been subjected to rather extensive analysis by several theorists and practitioners.[2] Specifically in the field of higher education, however, there is no comparable exposition concerning the role of consultants in assisting members of a college or university. The absence of such a volume reflects perhaps on the youth of the state of the art in collegiate consultation. Although faculty and college administrators often are called on to provide consultation to other kinds of organizations, they are asked less frequently to assist their own institutions or a sister institution in a consulting capacity. Furthermore, many college faculty members, who themselves provide consultation, are among those most reticent to use consultants. More than in most other social institutions, the prophet is without honor in his own land in the higher education community. He is honored only in his work outside this community.

This rather bleak picture is tempered by many exceptions. Furthermore, it is a picture that is in flux, for consultants are being used with increasing frequency by colleges and universities. Several factors seem to be particularly important in accounting for this increase. First, collegiate institutions are now faced with increasing demands for change from diverse constituencies. The rate of change in personnel, curriculum, and teaching-learning practices is accelerating as a result of open-door admission policies, increased public scrutiny of policies and practices, a fluctuating and declining job market, and a reduction in the size of the traditional college-age population. Consultants are being called on to provide alternative and creative perspectives and solutions, to assist with the processes of change, and to help the institution get a better sense of its past, present, and future. Unfortunately, college and university leaders often are uncritical in their use of consultants in this crisis-management capacity, and frequently have been disillusioned by invalid claims made by consultants regarding their expertise in the generation of adequate solutions to pressing problems.

Second, while demands for change seem to be increasing, the financial capacity of many colleges and universities to respond to these demands with full-time personnel seems to be declining. Very few colleges and universities can afford to hire people who can respond adequately to the problems that must be faced. Ironically, with decreases in funds, the use of consultants often has increased. Although a college might not be able to afford a full-time staff member in a specific program area—e.g., institutional research, curriculum planning, or professional development—it can afford to bring in a consultant on a short-term or part-time basis to generate plans or reports rapidly, provide direct services, or administer specific program activities. Since the consultant is not burdened by various time-consuming, though usually essential, aspects of institutional life (such as committee work and staff supervision), and is often relatively free from the constraints of institutional precedent and vested interests, he may be able to accomplish as much in two or three days as most line or staff personnnel can accomplish in two or three weeks.

Third, consultants are being used more frequently in higher education as a result of rapidly accumulating and encumbering federal and state regulations. In many instances, a consultant can accomplish the assigned task without being constrained or consumed by paperwork. In some instances, consultants are brought in as a means of thwarting legitimate regulations. For example, a consultant may be hired in place of a staff member to bypass affirmative action guidelines. More frequently, however, the consultant is able to help a college or university achieve the objective for which a federal or state regulation was formulated, precisely because this regulation can be waived.

6 Fourth, use of consultants is more prevalent because many colleges and universities have become increasingly polarized and politicized. With the emergence of faculty unions and collective bargaining, with the more frequent and often major interventions of trustees and community leaders into the life of the institution, and with the flow of institutional control away from on-campus administrators to regional and state-wide coordinating boards, an adversary relationship often is found to exist between various constituencies—faculty, students, administrators, trustees. The external consultant, or internal consultant with independent status, can bring a "neutral" perspective to bear on the problems confronting these constituencies or mediate among them or both.

While these four factors, among others, lead to an increased recognition of the need for consultants, they have not made the task of doing consulting work in colleges and universities any easier. Consultation in collegiate institutions is difficult, and requires all the knowledge and skills a consultant can bring to bear on a complex and often conflicting set of needs and demands. Consultation seems to be particularly difficult for those working with colleges and universities because there is little or no precedent in these instituions for consultative assistance. Furthermore, consultants in higher education often are confronted with a complex organization that may be unclear about its mission and goals. Many colleges and universities resemble communities more than they do other nonprofit organizations or businesses and are best characterized as confederations of autonomous programs and program support units. In most educational institutions, and particularly at large ones, there is relatively little interdependence among the units and considerable ambiguity about the ways in which each unit should contribute to the functioning of the whole. Thus, a consultant often must confront problems of conflicting goals and purposes between units of institutions, and must be particularly sensitive to profound differences in the cultures (norms, precedents, informal reward structures, and so forth) of various program units—especially academic departments.

Kenneth Boulding[3] speaks of the "peculiar" nature of "intersect" organizations—those that do not fall easily into accepted institutional categories—for example, those that are neither totally "public" nor "private." Collegiate institutions are prime examples of "intersect" organizations, that, as a result, often embody conflicting policies, procedures, and goals. The problem of organization complexity is compounded by the problem of ambiguous organizational outcomes. It is difficult to measure the effectiveness of a program or a consultant's work when there are no clear "production goals" or criteria for institutional success. Most attempts to quantify the educational outcomes of an academic program have been insensitive to the subtle and long-term consequences of effective teaching. Most qualitative and subjective measures of outcome seem to lack persuasive appeal or precision, hence, are of little use in documenting the achievements of a consultant. Therefore, a collegiate consultant usually is unable to state with conviction that a specific design, activity, or procedure will yield a specific, desired outcome.

Finally, the consultant in higher education is faced with the prospect of limited funds. Even though financial constraints may encourage the hiring of a part-time consultant, the salary of the newly hired consultant often consumes the available budget, leaving little additional money for him to work with. When compared with his colleagues in other organizations, the collegiate consultant usually works for less pay and has less planning time. He must work with fewer people, and with people who receive few tangible incentives (money, release time, travel allowances) for participating in a consultation.

Numerous other drawbacks of collegiate institutions could be mentioned to account for difficulties in doing consultation. However, such a listing would be counterproductive, for the object here is not to frighten consultants away from higher education; rather we intend to point out the unique features of this type of client system. The prospective consultant will be challenged by work with colleges and universities and need never fear that this work will become mundane or repetitive. We hope this handbook will be of assistance to the practitioner who wishes to engage in college consultation, as well as to the campus leader who wishes to make use of consultants. The need for collegiate consultation is apparent, yet the problems associated with doing this type of work are also significant. The resources of this handbook can be brought to bear on these problems and can aid the consultant in meeting the pressing needs of colleges and universities.

Roles That Consultants Play

Given the relevance and challenge of consultation for colleges and universities, it seems appropriate at this point to define more precisely what is meant by "consulting" and to describe the nature of the roles that are played by consultants in collegiate institutions. For most people, the term "consultant" seems to convey a sense of expertise and advisement. Yet, as we shall contend in Chapter 4, this is appropriate to only one of three particular models of consulation. A consultant often is identified as someone who comes from "outside" the group or organization—who is brought in with an unbiased perspective. Yet, some consultants work from within a group or organization and, as "internal consultants," do effective and distinctive work for this group or organization. A third image of consultation is that of "problem solver." In many instances, this image is inappropriate, for the consultant does not solve problems himself, but aids the client in solving the problem instead. Another image is that of "negotiator"; yet, a consultant often works with a single client.

Three other characteristics apply in most instances to the consultative process. First, the consultant usually is brought in to help a person, group, or organization *prepare for some action*. He is not brought in to initiate the action himself. A consultant may write a report, train personnel, or provide an evaluation. However, he rarely will be actively involved, on a daily basis, in the operation of a program that leads directly to the ultimate goals of a project.

Second, the consultant must *rely on information*, reasoning, and good will to be effective in his work as a consultant. He cannot rely on "position power"[4] to accomplish specific goals. He has no direct access to reward systems, nor can he order anyone to do anything. A consultant must instead rely on "expert" power, "charismatic" power, or the power associated with being detached or unknown.

Third, and perhaps most important, a consultant is, or should be, involved in a *temporary relationship* with his client. Regardless of the model used, an effective consultant should begin to work himself out of a job from the first moment he encounters a client. If the consultant is concerned primarily with preserving his relationship with the client, he has ceased to hold any of the distinct advantages of consultation. He loses objectivity and a sense of detachment, and becomes more concerned with the short-term satisfaction of the client than with the ultimate value of his work for the client. This issue will be discussed at greater length in Chapter 8.

Given these three essential features of consultation, there are a number of more specific roles that are played to varying degrees by most consultants. Bergquist[5] identified 10 consultative roles and assigned two appropriate consultative goals to each of these roles (see Figure 1-1 and *Document 1-1*). Some of these roles are played with great frequency in American colleges and universities. Through a questionnaire about consultation sent to 45 faculty from small liberal arts colleges who were participating in a training program for faculty development consultants,[6] Bergquist found that the role of expert is played most frequently by consultants and is sought most frequently at the start of or at an advanced point in the life of a collegiate program. The role of facilitator was

FIGURE 1-1

Consultative Roles and Goals*

Consultative Roles	Appropriate Consultative Goals
1. EXPERT: advice giver, "Wise Old Man," idea generator	a. Obtain new/more information b. Validate current information or opinions
2. ADVOCATE: promoter, crusader, salesman	a. Convince others of an idea, strategy, or goal b. Obtain information about a particular idea, strategy, or goal
3. JUDGE: evaluator, certifier, overseer	a. Determine the success of a program b. Convince others of the success of a program
4. NEGOTIATOR: broker, mediator, conflict resolver	a. Resolve a problem b. Prevent the occurrence of a potential problem
5. TRAINER: model, teacher, coach	a. Increase capacity of current staff to provide certain services b. Reduce the reliance on external consultants
6. FACILITATOR: clarifier, gatekeeper, friend	a. Improve the way in which current program operates or problems are solved b. Begin a new program in an effective and enjoyable manner
7. DIAGNOSTICIAN: observer, analyst, describer	a. Find out what is wrong with current program or process b. Anticipate potential problems
8. CATALYST: starter, energizer, visionary	a. Help get a program off the ground b. Invest a program with new excitement
9. DESIGNER: planner, assessor, pathfinder	a. Develop an effective program b. Develop a process for continuing review and renewal of program
10. CONTROLLER: reward giver, punisher, agenda setter	a. Insure that a program is given adequate consideration b. Insure that a program is implemented

*From William H. Bergquist, "The Liberal Arts College," in Jack Lindquist, ed., *Designing Teaching Improvement Programs* (Washington, D.C.: Council for the Advancement of Small Colleges, 1978), p. 63.

viewed as most controversial by the questionnaire respondents. A facilitating role is apparently most at odds with the usual expectations of the potential clients that an expert role will be played. In addition, clients are often intolerant of the extensive time requirements inherent in a facilitative consultation, and tend to find facilitative consultation most effective when the program or personnel receiving facilitative assistance are experienced and credible in their local academic community:

> There is some irony in this latter conclusion, for facilitative approaches to consultation are often offered as entry level activities: the consultant "helps the client to help himself" or "helps the client to identify what his problem really is." Here consultants face the same problem as do faculty in their teaching: shall we give the answers and get on with it or help students learn how to develop their own answers?[7]

The role of judge generally was accepted by the questionnaire respondents as appropriate at an early point in a program, especially when a "seal of approval" helps win credibility for the program. The blending of evaluation and consultation is becoming increasingly prevalent in the world of collegiate consultation.[8] A fourth role—that of trainer, model, teacher, or coach—was viewed in a very positive manner by most questionnaire respondents. They found consultants who serve as mentors particularly valuable at an early point in the development of a new program.

Several of the other roles listed in Figure 1-1 seem to be inappropriate initially, given the three characteristics of effective consultation noted above. Should a consultant serve as an "advocate," "catalyst," or "controller" if he is to remain detached, if he is to avoid position power, if he is to foster independence for his client? Each of these roles can be appropriate and constructive under certain circumstances. If the client and consultant both believe in an idea, the consultant can assist the client in articulating a persuasive argument for the idea. Over the long run, however, given the responsibility of a consultant to discourage client dependency, the client must acquire the skills of argumentation and persuasion himself. Similarly, a consultant can assist in getting a program started by lending his name, his promotional expertise, or his knowledge, yet must not get drawn into the daily operations of the program.

The role of consultant as controller must be played sparingly and with great caution because it is rarely appropriate. Frequently, a consultant should play the role of designer rather than controller when dealing with issues of reward and punishment. For example, it is appropriate for a consultant to help design an equitable and influential system of compensation; it is inappropriate, however, for him to make decisions concerning who should or should not receive this compensation. In some instances, consultants will manipulate rewards and punishments as part of a training process—for example, in the exploration of personal issues related to power and powerlessness. In other instances, the consultant needs to exert considerable control when planning and implementing a short-term skills training program. In very few other instances, however, should consultants serve in a controlling capacity, for a consultant is rarely assigned the responsibility to accompany this control. In the absence of accountability, power is usually destructive for both the client and consultant.

The Functions Served by Consultants

In a now classic statement concerning the nature of human systems and the consultant's role, Charles Ferguson[9] identified 17 different functions that can be served by an effective consultant. These functions relate to and complement the role designations identified by Bergquist.

The first function, according to Ferguson, is *gathering information* ("capturing data"):

> The consultant can serve as a rock over which varying . . . stories wash like waves leaving essential traces; he listens for cause and effect, for discrepancies or turbulence or symptoms of stress along subsystem boundary lines. He also listens for respect, confidence, trust, openness, and signs of health."[10]

Fred Steele[11] similarly defines a central role of the consultant as information gatherer when he draws an analogy between consultants and detectives:

> Clearly, one of the major activities of the detective is an extensive search for clues and evidence as to what has occurred in a specific situation. His reasons for wanting evidence may be described as falling into two major categories: one need is to gather clues to help him *understand* what has occurred in a given crime situation; a second need concerns using that understanding to search out more adequate evidence in order to *prove to others* what has occurred and to make a case which can stand up in court. Both of these seem to me to be of vital importance to the consultant as well.[12]

A second consulting function identified by Ferguson is *sensing problems* ("scanning for troubled interfaces"). The consultant is sorting out those problems that are mundane or readily deferred or solved, and those that are significant, troublesome, and pressing. Serving as a problem sensor, the consultant can provide more focus and direction than is the case when he is serving exclusively as an information gatherer.

Third, the consultant can *promote cohesion* ("psychological bonding"):

> . . . a consultant can encourage processes that develop cohesiveness within and between human groups, meetings, interchanges, conversation, sharing knowledge and problems, mutual endeavor in the right kind of psychological climate are pathways a consultant can stimulate and enhance.[13]

Fourth, he can act as a *linking agent*, bringing together people or groups that have or need specific resources or assistance. Jack Lindquist[14] emphasizes the critical role to be played by linking agents in his extensive study of successful and unsuccessful collegiate change efforts. Donald Schon[15] similarly emphasizes the essential role to be served by various linkage functions in the social networks that are becoming prevalent in our society. New leaders (and consultants) serve as brokers, as movers across traditional boundaries, as managers of formal or informal networks, as ombudsmen, and as facilitators of relationships between individuals and groups.

The consultant can serve as a *transmitter of information*. "A consultant," according to Ferguson, "can be a human conveyor belt that moves critical information into and between various parts of an organization.[16] Using several other analogies, Ferguson describes the consultant as one who cross-pollinates an organization or as one who revitalizes sluggish circulation in an organization.

The consultant can provide a sixth function, *suspending and analyzing* the operations of a group or organization. Being outside the formal system, the consultant often can ask the seemingly naive question that provokes reflection, discussion, and, ultimately, insight. Jay Forrester, creator of a powerful analytic tool called "systems dynamics,"[17] often urges his colleagues to "not just do something . . . stand there." He suggests that people who work with complex physical, biological, or human systems often tinker with the system before understanding fully how it operates. As a result, interventions often yield unanticipated or even counterproductive results. A consultant can be valuable to an individual, group, or organization when he convinces the client to "back off and take a look" at what is happening in himself, his group, or his organization.

Seventh, a consultant can help *clarify issues*. He can encourage warring factions to listen to one another, and can assist in the clarification of common or competing goals and strategies. Similarly, a consultant can assist in the *release of emotional pressures* (the eighth function) that have built up between warring factions or that have not been expressed by people, in a group or organization, who are experiencing inordinate amounts of stress.

Ninth, the consultant can help the client to *improve communications*, to express feelings more openly and consistently and, in this manner, to become more "congruent." The consultant also can promote two-way communication by *encouraging feedback* (the tenth function). The effective consultant will not become a glutted repository of organizational secrets, hidden agendas, or unexpressed feelings, but instead will model a desired state of affairs: free-flowing, two-way communication. A consultant should be able to provide constructive, nonbinding feedback to others and to help others who are providing feedback become more sensitive to the needs of the feedback recipient, as well as to the impact (intended or unintended) of the feedback. Previous volumes in this series[18] contain many useful exercises and concepts concerning constructive feedback and related communication and helping skills (paraphrase, behavior description, description of feelings, and so forth).

An eleventh function identified by Ferguson is *removing communication barriers*. Analogies are used once again. The consultant serves as a "plumber" by reaming out a passage without destroying the blocked communication channel. He serves as an obstetrician when sensing "the birth of developments" and assisting in "the delivery of significant events." In a related manner, the consultant *promotes a spirit of inquiry*. In serving this function, the consultant asks: "What is happening?" "Why?" "How?" "How better?" He convinces others that the "proper study of man" will always be man. The effective consultant demonstrates this spirit of inquiry in his exploration not only of other people, groups, and organizations, but also of himself and his consultative relationship with others.

Thirteenth, the consultant can promote and facilitate the *analysis of ongoing processes* in a group or organization. He encourages participants in a group or members of an organization to learn from their experiences in the group or organization, to reflect continuously about the dynamics within the human systems with which they affiliate. One recent recipient of consulting assistance noted that even if the group has not improved in its functioning as a result of the consultant's work, he, as a recipient of the consultant's insights, now finds the life of the group to be much more interesting: "When I get bored with the topic being discussed in the group, I can just sit back and enjoy observing the extraordinary processes of the group." It is hoped that this client also will learn how to share these insights effectively with colleagues in the group to help make this group work more productively.

Another consulting function concerns *coaching and team building*. The effective consultant can help individuals, groups, or organizations improve the ways in which they operate, so that they might be successful not only in solving their current problems, but also in solving comparable future problems. The consultant can assist the client in structuring and operating a group or organization that is not only successful in accomplishing a specific, assigned task, but also is personally and interpersonally gratifying.

Ferguson suggests that *management of conflict* is a fifteenth function. The confrontational nature of campus life during the past 15 years may make this function increasingly important to colleges and universities. Though students may no longer actively face off against faculty and administrators, faculty now are often in direct conflict with administrators. Ferguson indicates that the consultant is most helpful not when he decides the conflict for his client, but when he assists "the process of sharpening and clarifying the dimension of conflict so that a search for a larger basis of cooperation can proceed."[19]

The sixteenth function is defined as "promoting a psychological climate," that is, helping to *create a climate of trust and respect*. The consultant's own attitudes about the individual, group, or organization with which he is working may spill over to the client's self-image. The consultant should be optimistic—even a bit naive—about the client's intentions and competencies. Such an optimism can be self-fulfilling,[20] for the consultant often is viewed with considerable respect by the client—at least his opinions cannot be dismissed readily as "self-serving." Consequently, the images that the consultant conveys to the client and others about the client's intentions and competencies will tend to change attitudes, which in turn often leads to changes in perception and even behavior. A consultant is one of the few people who can risk being wrong in an overly optimistic appraisal of a situation or in an overly trustful attitude about another person.

The preceding statement leads us to the last of Ferguson's functions: *taking* *calculated risks.* As noted above, an effective consultant remains independent of the client system, hence,

> regards himself as expendable and thus . . . prepared to serve a system prudently but courageously without tenure but boldly in its own interest—as long as the consulting relationship is sustained. It is relative freedom from dependence upon a system that gives a consultant a unique opportunity to help.[21]

This last function is perhaps the most important, for it is the one way in which a consultant can best serve or be most destructive in his relationship with a client. On the one hand, as Ferguson noted, the independent, courageous consultant can take risks and be honest in a way that most line and staff people can't. On the other hand, this independence and risk-taking can lead to arrogance and a lack of concern for the long-term and wide-ranging consequences of particular consultations. Thus, risk-taking and courage must be tempered with modesty and, as Ferguson noted, prudence.

In this chapter, we have described the diverse roles and functions that legitimately might be assumed by a consultant in higher education. Obviously, collegiate consultation is neither simple nor singular in nature. Many activities and assumptions may be incorporated under the term "consultation." The next two chapters speak to commonalities in collegiate consultation, whereas the fourth chapter speaks to differences in various approaches to consultation. We turn specifically in the next two chapters to a description of 10 common steps in a collegiate consultation process.

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Document 1-1

Title: The Roles that Consultants Play

Source: William Bergquist

General Description:

This exercise is useful for both consultants and potential users of consultants (clients) in identifying the relationship between the goals of consultation and the roles that the consultant is expected to play in achieving these goals. This exercise can be completed in a consulting skills workshop which is held for consultants or potential users of consultants (see Chapter 7). It serves as a general means of raising consciousness about central consulting issues: Why am I consulting? When is a particular consulting approach most appropriate? How do I know if I have been successful as a consultant?

This exercise also can be used by a client-system (individual, group, or organization) prior to bringing in a consultant for a major assignment or prior to designing a program that will require significant use of consultants. A consultant (or consulting team) can make similar use of this exercise to focus on a specific consultancy, by working through the exercise with reference to the specific client-system with which he (or the team) will be working.

This exercise involves three steps. First, the consultant or user (client) is asked to determine the primary reasons why he is being called in to consult or why a consultant is being called in, respectively. The form titled "Goals of Consultation" can be used for this purpose. This segment of the exercise is to be completed ***prior to*** looking at the handout titled "Consultative Roles and Goals." The goal identification directions are purposefully vague and and open-ended, so that the consultant or user will state the goal(s) in his own words, order, and level of generality.

The second step requires the consultant or user to develop a profile, indicating the relative importance of each of 10 consulting roles. The instructions for completing this profile are found on the form titled "Consulting Roles Profile." On completion of this form, the consultant or user will have estimated the relative frequency with which he ***now*** plays each of the 10 roles and the frequency with which he ***would like*** to play each role.

The consultant or user then is asked to reflect on and discuss the following questions:

1. Were there any significant discrepancies between the profile that describes ***current*** roles and the profile that describes ***desired*** roles?
2. Why do these discrepancies (if any) seem to exist? Are the discrepancies determined by internal factors (your own attitudes, interests, skills, knowledge)? By external factors (the needs, interests, expectations, attitudes, skills, knowledge of other people, sources of support for the consultation)?
3. How might some of these discrepancies be reduced? How might they be reduced with reference to the way this specific consultancy is designed? With reference to your own life and career plans?

The third step involves a comparison between roles and goals. The consultant or user is asked to compare the goals he identified during the first step with those that seem appropriate to the roles he identified as currently or ideally being played. The handout titled "Consultative Roles and Goals" provides a list of appropriate goals for each of the 10 roles upon which the profiles are based. This handout can be used to help the consultant or user determine appropriate goals for his high frequency roles.

The consultant or user may disagree with some of the role-goal matchups listed in the handout. He should be encouraged to explore other possible matchups. Most important, the consultant or user should reflect on and discuss apparent role-goal discrepancies and should address the following questions:

1. How close a match is there between the goals you initially identified as being appropriate to a specific consultancy and the goals that are appropriate to the roles you play or would like to play. (In the case of the user, he should compare the goals he identified initially to those he would like the consultant to play.)
2. If some mismatches exist, what seem to be the causes of these mismatches?
3. How might these different sets of goals become more compatible? Would some of the less frequently used consulting roles be more appropriate to significant goals you have independently identified? How might you acquire the skills or identify consultants to play these roles? How might you gain more acceptance for these roles among those people (Clients/consultants) with whom you work?

As part of this exercise, a consultant or user should give some thought to several of the central issues in consulting regarding the roles and goals of consultation. In addition, the consultant or user should plan ways to reduce the discrepancies between each others' current and desired roles and goals.

Goals of Consultation

Instructions:

Please list below the primary goals you hope will be achieved in your work as a consultant or in your work as a user of consultants. You may want to list goals that are relevant to a specific consultation or program of consulting assistance, or to the consultation process in general.

Some people find it useful to imagine a completed consultancy that has been highly successful. What are the outcomes of this consultation? What are the features of the consultancy that made it successful? These outcomes and features can be listed as goals.

Do not be concerned if some of the goals are quite general (missions statements), while others are quite specific (objectives). You should be concerned primarily with identifying a range of goals and with stating these goals in as explicit a manner as possible. You may wish to identify briefly examples for those goals that seem to be ambiguous or elusive.

Goal 1: ____

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Goal 2: ____

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Goal 3: ____

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Goal 4: ____

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Goal 5: ____

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Goal 6: ____

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Goal 7: ____________________

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Goal 8: ____________________

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Goal 9: ____________________

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16 ____________________

Goal 10: ____________________

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Consulting Roles Profile

Instructions: Listed below is a set of roles that are played frequently by consultants to colleges and universities. First, as a consultant or user of consultants, please indicate the extent to which you *play* (or make use of consultants who play) each of these roles. Place an "X" in the appropriate box to the right of each role title, then connect the "Xs" to obtain a role profile. You may wish to make your assessment of role frequency with reference to consultation in general or with reference to a specific consultation. Second, place a "Y" in the appropriate box to the right of each role title, based on the extent to which you *would like to play* (or make use of consultants who play) each of these roles. Connect the "Ys" to form a second profile.

Role	**Frequency of Role Use**						
	Never	Very Infrequently	Infrequently	Occasionally	Frequently	Very Frequently	Usually
1. EXPERT: advice giver, "Wise Old Man," idea generator							
2. ADVOCATE: promoter, crusader, salesman							
3. JUDGE: evaluator, certifier, overseer							
4. NEGOTIATOR: broker, mediator, conflict resolver							
5. TRAINER: model, teacher, coach							
6. FACILITATOR: clarifier, gatekeeper, friend							
7. DIAGNOSTICIAN: observer, analyst, describer							
8. CATALYST: starter, energizer, visionary							
9. DESIGNER: planner, assessor, pathfinder							
10. CONTROLLER: reward giver, punisher, agenda setter							

CHAPTER 2

The Consulting Process I: Introductory and Information-Oriented Stages

Consultation From the Client's Perspective: A Ten-Stage Process*

In the first chapter, we emphasized the diverse roles played and functions served by consultants in higher education. The most effective consultants are those who can assume many roles and serve many functions. Such flexibility allows the consultant to be responsive to the unique needs and styles of clients, as well as to the particular characteristics of the setting. Nevertheless, there do seem to be several common stages that a consultant ought to take into consideration when planning any consultation. One or more of these 10 stages can be dismissed in a particular consultation. However, if a consultant consistently avoids one or more of these stages, the likelihood that he will confront a series of problems—that can be predicted and consequently avoided—significantly increases.

The 10 stages relate to one another in a sequential manner. In most instances, a consultant cannot move from one stage until he has negotiated the previous ones, although he may begin at different points in the process and often will repeat and recycle through one or more stages during any single consultation.

The 10 stages that encompass and can be used to guide most consultations are:

1. *Entry:* the client contacts the consultant
2. *Initial Contracting:* the consultant and client reach a preliminary agreement concerning their working relationship
3. *Information Collection:* the consultant (often in collaboration with the client) collects additional information about the client system
4. *Information Analysis:* the consultant (often in collaboration with the client) assembles and synthesizes the information to arrive at a valid and useful description of the client system
5. *Information Feedback:* the consultant conveys the description of the client system to the client in a manner that promotes understanding and movement from reflection to action
6. *Recontracting:* the consultant and client reach a new agreement about their relationship, based on the information that already has been conveyed and their experience in working together
7. *Planning for Intervention:* the consultant and client determine the nature and design of activities that will be responsive to the problems and needs identified by the client and information gathered during previous stages

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*This description of consultation is derived from a model originally proposed by John Andrews, University of California at San Diego.

FIGURE 2-1

Client/Consultant Relationship

CLIENT	CONSULTANT
Definition of problem	
Evaluation of client	
Evaluation of internal resources	
Weighing cost/benefit of consultation	
Setting consultant specifications	
Identifying contacts	Entry
Contracting	Initial contracting
	Information collection
	Information analysis
	Information feedback
	Recontracting
	Planning for intervention
Managing the consultancy	Intervention
Evaluating the consultancy and using what has been learned	Evaluation of the intervention
	Recontracting and exit

8. *Intervention:* the consultant provides specific services for the client that are responsive to the problems and needs of the client system
9. *Evaluation of the Intervention:* the client and consultant determine the extent to which the intervention successfully responded to the client's problems and needs, and was compatible with the contractual relationship between the client and consultant
10. *Recontracting/Exit:* the client and consultant determine whether further work is needed and to what stage the consultant should return if further work seems appropriate; if no further work is needed, the client and consultant plan for and initiate the consultant's exit in a manner that insures continuity of action taken as a result of the consultation.

Although the most visible stage in this process, intervention, is also the most important in determining the overall success of the consultation, it cannot stand in isolation from the other stages. Too often, an unsuccessful intervention has been executed skillfully, but has not been preceded by sufficient "homework," hence, it is inappropriate, ill-timed, understaffed, overstaffed, misunderstood, or staged for the wrong people. Effective consultation is always a sensitive balance between the rational and reflective stages of information collection, analysis, and feedback, and the more intuitive and action-oriented stages of planning and intervention. The remainder of this chapter is devoted to a more detailed description of the first five stages—those that concern the introduction of the consultant into the client system and those that have to do with the accumulation and use of information. Chapter 3 will focus on the final five stages of consultation, which deal with action and exit.

STAGE 1: Entry

The initial contact between a consultant and client often determines the degree of success in a consultation. Furthermore, entry often lasts for a considerable period of time, even though the consultation has seemed to move beyond this initial stage. Often, when a consultant is brought in to conduct a short workshop or make a speech, this brief presentation serves as his "entry" into the institution, and is not meant by itself to be a significant intervention into the client system. The essential tasks in any entry process are an initial identification of the client and the audience, and, based on this identification, the establishment of a trustful working relationship between the client and consultant.

Usually the first contact between a college or university leader and a consultant occurs via letter, telephone, or personal encounter (typically at a conference). The initial contact should include a statement by the contact person about the general nature of the convening problem or need that precipitated the request for a consultant, as well as some general statement about the extent of the consultation itself. (See the more extended discussions in Chapter 5.) The consultant should share information about his fees, availability, and, if requested, relevant background, knowledge, or skills in the problem or need area that is defined by the contact person.

The initial contact person may or may not be the client. Blake and Mouton believe that one must distinguish between two categories of individuals who approach a consultant:

> Sometimes the individual is the real client, i.e., the entire problem that he or she confronts is within the client's capacity to resolve with consultant assistance. Sometimes, however, the client should be seen *not* as the client but as the entry person, that is, an individual through whom access to the *real* client may be possible.[1]

Given this distinction, one of the tasks in the initial contact between a consultant and entry client is the identification of the real client. In those instances where the real client is not the entry client, he or she may be the bill payer or the person who works with the consultant on a daily basis. Usually, the client is the person to whom the consultant is directly accountable.

The consultant may find the following questions helpful in defining the client:

1. If the consultation is successful or a failure, who will be given direct credit or blame for it?
2. Who has the authority to change the nature or goals of the consultation?
3. Who will benefit immediately from a successful consultation?
4. Who will be responsible for the implementation of any recommendations that emerge from this consultation?
5. With whom should the maximum amount of information that is gathered during the consultation be shared?

In answering these five questions, one may discover that several different possible clients are identified. Therefore, one must reflect on the primary purpose of the consultation, then focus on the client who is identified through those questions which are most closely associated with this purpose. In general, one should identify one person or a small group of people (five at most) as the primary client. A larger group of people rarely can provide sufficient guidance for a consultation.

The consultant and client also may wish to identify an "audience" for the consultation. This larger group of people should meet with the consultant frequently, advise the client about the nature and purpose of the consultation, receive most or all oral and written reports from the consultant, and, in many instances, be involved in planning for consultant interventions. The audience may be selected on a representative basis to reflect the diverse interests and perspectives of the college or university, or may comprise those people who are in a position to implement any recommendations that emerge from the consultation.

Decisions concerning the client and the audience for a consultation should not be viewed as unalterable. Frequently, a different person or group will be identified as the client after a consultation has begun. An effective consultant frequently will ask himself, "Who is the client?" The answer to this question often will have a profound impact on the design and processes of a consultation.

Some consultants believe that the client should always be the entire institution or "the higher education community" or "society." Unfortunately, these laudable attempts to identify the greater good of a consultation often lead to major problems. First, the consultant may be tempted to introduce personal goals and agendas (for example, try out a new instrument or workshop design), rather than attend to the goals and agenda of the client. Second, an arrogance is inherent in these broader definitions of clientship. Why should the consultant be the one to define what is "good" for the "institution," "higher education," or "society"? How is one to define a greater good in a manner that is not subjective and personal?

Consultants should not accept any job or work toward any goal that is incompatible with their personal values (see Chapter 8); nor should consultations be used to promote or perpetuate personal values. Effective consultants will select jobs that they find to be personally—not just financially—rewarding if they want to avoid "burnout." However, consultants also should be sensitive to the ways in which personal gratification can distort the definition of a problem or an independent identification of the "appropriate" client for a consultation. Therefore, the consultant should work initially with the entry client concerning the identification of the real client and should continue to reassess this decision with the real client during subsequent stages in the consulting process.

The second major agenda of the entry process—establishing a trustful working relationship between consultant and client—requires that both the consultant and the client demonstrate competence and good intentions. Consultants effectively convey good intentions and competence in several ways. While good listening skills (including paraphrasing) are essential at all stages of consultation, they are particularly important during entry. The consultant must allow the client to describe the problem fully without discounting this description or probing too rapidly for deeper issues or sources of difficulty. At entry, a consultant should be concerned with clarifying the client's perceptions of a convening problem or need, rather than attempting to alter the client's perception of this problem or need.

Through active and empathetic listening, the consultant conveys good intentions and an initial trust in the client's perceptions and intentions. Challenging the client prematurely often signals the consultant's mistrust of the client's motives and can lead to a nonproductive consultation. Bad intentions often are conveyed, as well, through a premature offering of solution or through treatment of a client's convening problem as if it were routine, unimportant, or easily solved. The good intentions of consultants are conveyed when they treat the client's problem as unique and significant to the client and hence to themselves.

The consultant's competence is much more difficult to establish at the onset of a consultation than is intention, unless his reputation is firmly established already. Competence may be established only after the consultant visits the campus or conducts an activity. A consultant's initial intervention (interviews, workshops, and so forth) is often an entry-level demonstration of competence.

A sense of competence also is conveyed by the questions posed by the consultant to the client. While consultants should acknowledge the unique and significant nature of a problem for the client, they also should convey something about the relationship between their own past experiences and the immediate problem. Questions concerning staffing, strategies for implementing a program, ownership of a program, levels of program funding, and program goals can suggest something about a consultant's own experiences in the area.

A consultant can demonstrate his competence most persuasively through his concern for all stages of a consultative process—not just the intervention. A consultant who agrees to run a major workshop on general education that will affect significantly the future life of a college or university should be concerned about needs assessment and institutional milieu, even at this early stage of consultation. A consultant who assists a fund-raising campaign should be concerned with gathering information about past initiatives in this area and the current financial needs of the institution. Inexperienced consultants often attempt to demonstrate competence (and reduce their own fears of inadequacy) by rushing prematurely into an intervention. A confident and competent consultant will move carefully and caringly into a consultancy. Ultimately, both intention and competence are established firmly through the formulation of a consulting contract—the activity and stage of consultation to which we now turn our attention.

STAGE 2: Initial Contracting

An explicit agreement about the needs and expectations of both client and consultant is needed at an early point in a consultation. Furthermore, this explicit statement should be linked to specific obligations on the part of both client and consultant. For this reason, a contract is drawn up between the client and the consultant. The contract need not be highly formal, and it need not be written if both parties are clear about its content and each has heard the other party articulate the agreements held in the contract. In higher education consulting, a written contract is ideally appropriate, given the complex and often elusive nature of the needs, expectations, and obligations that are identified. Yet, written agreements are often difficult to obtain (personnel contracts, for instance, often are stated informally in a brief letter). Hence the dominance of verbal agreement.

A verbal agreement must be precise and clear to both parties. In many instances, this process will be *the* most critical aspect of a consultation. It can contribute significantly to the client's understanding of solution to a problem, and to a fuller understanding by the client of his own resources and the resources of people with whom he works.

What seem to be the most important ingredients in a client-consultant contract? Kolb and Frohman[2] have identified 10 areas in which agreement should be reached:

> (1) the consultant's and the client's goals for the project, (2) broad definition of the problem (to be redefined as the relationship progresses), (3) relationship of the problem to the overall system, (4) client resources and abilities applicable to the problem, (5) consultant resources and abilities applicable to the problem, (6) broad approach to the problem, (7) nature of the consultant/client relationship, (8) expected benefit for the client, (9) expected benefit for the consultant, (10) ability of one party to influence the other.[3]

The specific ingredients of any one contract will depend on the nature of the client and the oonvening problem or need, and the preferred style of the consultant. In later chapters we describe several different types of consultation, each of which requires somewhat different contracts. The one ingredient that should appear in all contracts, regardless of the mode of consultation, is flexibility. Effective consultation should involve a series of increasingly accurate definitions of the convening problem or goal, and a series of increasingly detailed and useful definitions of the client-consultant relationship. The contract must be reviewed and revised frequently to reflect these changes. Only in the case of a "one shot" consultation will a simple, set contract be appropriate.

A flexible contract also reflects on the client's own growth in the consulting process. Initially, a client may be unaware of, or resistant to, nontraditional but appropriate consulting roles. Clients may consider the only appropriate consulting role to be that of expert. Rather than calling into question this limited perspective, a consultant may contract initially for provision of expertise (workshop, speech, or report). In doing so, the consultant can help the client recognize the limitations of this approach. If the intervention is evaluated effectively, the client may discover that although the consultant did a good job, the heart of the problem still has not been touched. In the abstract, a client is not easily convinced of this point. Only when this initial intervention has been completed, will the client be able to assess its appropriateness. Many early activities in a consultation are directed primarily toward reclarification of the contract. The third, fourth, and fifth stages of consultation (information collection, analysis, and feedback), in particular, are often related integrally to contracting.

STAGE 3: Information Collection

Many consultants in higher education—especially those who define themselves as experts—are inclined to bypass the third, fourth, and fifth stages of consultation and move immediately to planning and initiating the activity for which they have been hired. Although this neglect may be of little consequence in some instances, most consultants have encountered problems at one time or another because they did not know enough about the client and institution they were serving.

The information collection stage may be elaborate and quite formal or it may be very informal—consisting entirely of a few conversations and notes about the campus environment. The consultant may try just to "get a feel" for the campus by arriving a few hours before the start of a workshop. Under such circumstances, consultants must allow the impressions they form to influence any subsequent action. Consultants should be prepared to change the design of the workshop in response to new information acquired about the institution. Too often, they are not.

Strategies for gathering information usually will emerge quite naturally from the questions considered when formulating a consulting contract. Even if clients initially think that information collection is unnecessary, the contracting process is likely to convince them that they need to get a better hold on the convening problem or need before working with the consultant on a specific intervention.

Preferably, the client and consultant both will be engaged in information collection. The consultant may ask the client to accumulate documents to answer certain questions while the consultant is conducting interviews or making observations. If the client is involved in information collection, he is more inclined to believe and take ownership of the conclusions derived from this information. Furthermore, the larger the number of people who are collecting information, the greater the quantity of information obtained from a variety of sources will be, and the less likely is the presence of a single bias or perspective on the data.

Numerous information sources are available to a consultant and client. They need not confine their attention to a single source. At least three different sources should be tapped when conducting a consultation. When only one source is used, the method of information collection itself can influence the system being studied (a version of the Heisenberg Principle). If two sources are used, the consultant risks obtaining contradictory information based in part on differing methodological biases. There is no clearcut way of resolving these differences. Three or more sources of information allow for constructive and usually resolvable discrepancies. Typically, at least two sources will yield similar information or, at least, common themes. If all three information sources yield discrepant data, it is evident that the system being studied is complex, contradictory, and in need of further investigation. The discrepancies cannot be dismissed as merely methodological artifacts.

At least 10 different methods for collecting information are available to most consultants and clients: (1) interviews, (2) observation, (3) participant-observation, (4) document review, (5) unobtrusive measures, (6) obtrusive measures (participant-observation of reactivity), (7) performance tests, (8) questionnaires, (9) critical incident checklists, and (10) general information about comparable problems and programs at other collegiate institutions. A consultant is limited only by time and imagination in his use of these information collection tools.

Interviewing is probably the most widely used and generally appropriate method of information collection for consultants. Interviews can be conducted individually or in small groups. Sometimes they are open-ended; the interviewees' responses to initial questions (which usually are determined ahead of time) dictate the nature and scope of later questions. At other times, the questions all might be specified prior to the interview. As Parlett and Dearden have noted, "brief, structured interviews are convenient for obtaining biographical, historical, or factual information," whereas "more open-ended and discussion forms are suitable for less straightforward topics (e.g., career ambitions and anxieties)."[4]

Interviews can be scheduled formally or can occur informally at the student union, in the hallway, or in an automobile. They may be conducted in person or by telephone. A random sample of campus attitudes and perceptions can be conducted with limited time and personnel through the use of polling techniques. Every fifth or tenth person in a campus telephone directory is called and asked a few brief questions. In many instances, these telephone polls can be conducted by students.

An effective consultant will make extensive use of *observation* when the opportunity is available. Though observations are time-consuming, they provide the consultant with rich insights into the real workings of the client system. A consultant might observe continuing projects having to do with the consultancy—e.g., class sessions, committee meetings, or workshops—or events that reflect on the milieu of the campus—e.g., spontaneous student activities or special student or faculty events.

In some instances, a consultant might deem it useful to assume a *participant-observer* role by becoming actively involved in some event that relates to the convening problem or need—e.g., using instructional materials that have been produced by the department with which he is working. The participant-observer records not only what he has observed, but also personal reactions to participation in the event.

In the case of all three of the first information collection methods, the recording process itself can be assisted at times by the use of oral (audio tape recorder) or visual (video tape recorder, 35 mm still camera, or 8-16 mm movie camera) equipment. In most instances, unfortunately, recording equipment will disrupt an interview, observation, or participant-observation and distort the information being collected. A consultant may want to take written or mental notes that can be written or recorded on tape later.

A consultant usually will ask the client to send pertinent documents about the convening problem or need and will *review these documents* before arriving on campus. Some documents should be read carefully, especially those concerning goals, policies, and outcomes related to the convening problem or need. Additional documents can be reviewed quickly for broad themes and particularly unique or contradictory perceptions or recommendations.

Other types of information found in reports, order forms, budgets, and related archival sources are also of value, even if they do not have to do directly with the convening problem, for this archival information tends to be nonreactive or *unobtrusive*. The collection of this information will not disrupt or influence the continuing events of the institution. Webb, Campbell, Schwartz, and Sechrest[5] have identified briefly and creatively a number of unobtrusive sources of information about programs and institutions. For instance, they noted that physical traces of erosion and accretion—e.g., wear of library books or replacement of tiles in front of a museum exhibit—can be used as indices of use and popularity. Student enrollment and dropout statistics for specific courses or departments are of comparable value, as are student journals, graffiti, prevalent campus jokes, minutes from important committee meetings, and records of equipment use. These unobtrusive measures tend to be descriptively rich and persuasive—they reveal the "real world" of a college or university campus.

The reactions to certain data collection procedures are also of some benefit, for these reactions tell much about campus strength, problems, and milieu. The way in which a consultant is "wined and dined" on campus, for instance, can be indicative of the manner in which inclusion takes place at the college or university. Inclusion is, in turn, an important determinant of campus morale, interdependency, and information flow. Similarly, to the extent that a consultant disrupts the flow of instruction when observing it, one can infer (with confirming evidence from other sources) that there is no precedent for peer observation and probably strong attitudes supporting classroom autonomy. Such information has value when interpreting the apparent success or failure of a project to influence classroom instructional behavior. One can trace the reactions of faculty, administrators, and students to other external interventions—e.g., an accreditation visit—as well. The response of people to the current consultation or a previous consultation is indicative of attitudes, goals, and receptivity to change. The obtrusive event serves as litmus paper. It reveals the prevailing attitudes on campus.

Various psychometric devices also should be available to a consultant and client. *Performance tests* can be used to determine relative levels of achievement in a specific area, as well as the attitudes of people on campus. In regard to achievement, the problems associated with a particular project often can be understood better if students are given one or more tests to establish their current level of competency. For example, a consultant working on a general education problem might wish to test for critical thinking skills at the beginning and end of the current program. The tests that are given need not count toward student grades in a particular course, but instead can be presented as a diagnostic test or as a measure of program rather than student effectiveness.

As a measure of attitude, a performance tests enables a consultant and client to skirt the difficult process of directly inquiring about another person's attitudes. One might assess a student's or faculty member's attitude about the library by asking where the card catalogue is located—an indicator of the respondent's familiarity with the library—rather than by asking if the person supports the library or asking how often he visits the library. The respondent may be inclined to express a more positive attitude about the library than he actually feels or overestimate the number of visits made to the library, but it will be difficult to distort or disguise knowledge (or ignorance) of the facility. Of course, one must assume that people are most knowledgeable about things they value highly. Support for this assumption is provided by Donald Campbell and his colleagues in a series of articles on alternative measures of attitude contained in Martin Fishbein's *Readings in Attitude Theory and Measurement.*[6] This selection of articles contains many useful suggestions for the indirect assessment of attitudes.

A second psychometric device—the questionnaire—is used by consultants almost as frequently as interviews. Sometimes the consultant, in cooperation with the client, will design and distribute a questionnaire that specifically focuses on the convening problem or need. At other times, a standard questionnaire is used to cut down on design time or to compare one institution or program with others. A questionnaire can take many different forms: multiple choice, checklist, true-false, matching, scalar, short answer, or open-ended. In recent years, situational-descriptive questionnaires have been popular. The respondent is presented with a specific description of a situation and asked to indicate which of several responses he is most likely to make. Used in this way, the questionnaire becomes a measure of personal attitude or competence. Respondents also can be asked to predict how they think a certain group of people will respond. Used in this way, the questionnaire becomes an indication of the respondent's perceptions of this particular group. The respondent is not being asked to evaluate the group's probable response, but only to predict what it will be.

A third psychometric device is closely related to the situational-descriptive questionnaire. Through the use of *critical incident checklists*, a respondent is asked to indicate how frequently a specific event or outcome is likely to occur within a particular program or institution. If this event or outcome is generally found to be critical to an institution's success or failure in solving a specific type of problem, an indicator of its relative frequency of occurance can be of considerable value to a consultant and client in assessing the severity of the problem on campus. A further description of this technique can be found in CASC's *Handbook for College Administration*[7] and in an article by John Flanagan.[8]

The tenth source of information resides in the memory of the consultant, as well as in the memory of the client (and audience). This is the *general knowledge* one has acquired about higher education. One need not direct this knowledge only to an intervention (such as making a speech or conducting a workshop). Information about nationwide or regional enrollment trends, new funding priorities, different curricular models, and institutional practices can be thrown into the hopper during the information collection stage along with information about the client system. The general knowledge can be used as a signal.

When information-gathering methods generate data that are discrepant not only with information from other sources on campus but also with general trends in the higher education community, they should be viewed skeptically, though not necessarily dismissed.

STAGE 4: Information Analysis

This stage often is ignored in descriptions of the consulting process. Information collection is assumed to lead directly into information feedback, yet such a sequence seems to neglect the fact that a consultant (and client) has a mind, and, as a result, will screen out some of the data that are collected and add a particular perspective to the data that are retained. There is an even better reason for acknowledging this stage. It is at this stage that the consultant's expertise and past experiences often can be of greatest value to the client. Rather than lecturing to the client or providing a set of descriptions of programs at other colleges or universities, the consultant can apply all of the theories, concepts, and knowledge of other programs directly to the task of making sense of the institution with which he is working.

What tools does a consultant need to conduct information analysis? Obviously, these tools will differ widely, depending on the nature of the data that have been collected. Too many consultants in higher education come up with the same analysis, regardless of the institution with which they are working. These consultants often have a very limited set of analytic tools available to them. Information analysis should involve discovery and surprise. If there is nothing "new" in the information, the consultant should question seriously its adequacy. Perhaps additional information should be collected. Is the consultant's bias overly determining the information? Does he need another perspective from a different constituency or consultant? Should he use additional information collection methods?

A few general principles of information analysis are appropriate and useful. First, information should be identified, screened, organized, and synthesized in such a way as to address the central concerns identified by the client during the contracting stage. The trust of the client in the intentions of the consultant often is placed on the line at this point. If a consultant uses his own agenda in working with the information, the client may feel betrayed.

In keeping with the client's concerns, a consultant may feel frustrated because there is so much more he could do with the information. The consultant certainly can use some of the information to expand the horizon and concerns of his client, but the consultant should not attempt to lead the client too far away from the client's initial concerns. Even if the client may be convinced of the validity of broader issues, the audience for the consultation usually will lag behind, thereby leaving both the consultant and client out on a limb. Broad perspectives on the client system should be applied to the convening problem to describe the milieu within which the problem can be understood clearly and solved. One must always balance a broader descriptive "landscape" rendering of a problem with a more intimate, in-depth "portrait" of the problem.

Analysis should not be delayed until all information is collected. Rather, the consultant (usually with the client) should begin to analyze the information soon after collection begins. The analysis itself can help determine the type of further information that should be collected and additional methods that should be used. Hypotheses, themes, and images should be identified in a preliminary manner, then subjected to progressively closer scrutiny. Specific hypotheses are confirmed or disproved with subsequent data.

The process of "progressive focusing" that is described by Parlett and Dearden exemplifies this approach to information analysis:

> At the outset, the [consultant] is concerned to familiarize himself thoroughly with the day-to-day reality of the settings he is studying. . . . he makes no attempt to manipulate, control, or eliminate situational variables but takes as given the complex scene he encounters. His chief task is to unravel it: isolate its significant

> features; delineate cycles of cause and effect; and comprehend relationships between beliefs and practices, and between organizational patterns and the responses of individuals.[9]

There are typically three stages in progressive focusing: observation, directed inquiry, and search for explanation. During the first stage, a consultant identifies a wide variety of images and impressions. Incidents that have been particularly intriguing are described, recurring trends are noted, and issues frequently raised in discussions or interviews are identified .During the second stage, a consultant selects specific topics for more sustained and intensive inquiry:

> A change of emphasis [accompanies] this development. During the first, exploratory stage, we [have] become knowledgeable about the scheme. At the second stage this enable[s] our questioning to be more focused; communication to be more coherent and relaxed; and, in general, observation and inquiry to be more directed systematic, and selective.
>
> The third stage consist[s] in seeking general principles underlying the organization of the program [or problem], spotting patterns of cause and effect within its operation, and placing individual findings within a broader explanatory context.[10]

While there are few guiding principles for information analysis, other than being responsive to the client's concerns and beginning the analysis at an early point in the data gathering process, several organizing schemes are found to be of value. One of these schemes, the "STP" model of program analysis is described in *Document 2-2*. The STP model encourages one to place information in one of three categories: (1) information that defines the *situation* or current state of the client system being studied, (2) information clarifies the *target* (T) or desired future state of this system, and (3) information that points to a *proposal* (P) or plan that will help the client system move from its current situation to the desired target. This model is deceptively simple and can be used to resolve conflicts as well as analyze problems.

A second model, called "TMP," was developed by the same consultants as the STP model, Frederick R. Fosmire of the University of Oregon and John L. Wallen, an independent consultant in Neotsu, Oregon. The TMP model can be used to analyze a problem from a somewhat different perspective than STP and has been described more fully in *Document 2-3*. A problem can be studied as a *task* (T) difficulty. The client system is unable to accomplish its assigned job in a satisfactory manner. A problem can be studied with reference to *method* (M). The client system is unable to adopt a method of operating that will enable it both to accomplish its assigned task and meet the personal and interpersonal (process) needs of its members. Third, a problem can be considered from a *process* (P) perspective. The client system is unable to function in a manner that is personally and interpersonally gratifying for its participants. Fosmire and Wallen have combined the STP and TMP models. The task, method, and process concerns of a client system each can be analyzed in terms of situations, target, and proposal.

Several other tools—which have been described in previous CASC handbooks—also can be of value in information analysis. *Developing the College Curriculum*[11] provides a tool—"Force Field Analysis"—for categorizing information with reference to the facilitating or impeding impact of various forces on specific programs or institutional goals. A second tool in the curriculum handbook, "Cross Impact Matrix,"[12] provides guidelines for the systematic analysis of interrelationships among several variables (such as events, programs, people, and funds). *A Handbook for Faculty Development, Volume 1*, provides a system for categorizing information collected from small groups,[13] and *Volume 2* contains a comparable system for categorizing leadership behavior.[14]

STAGE 5: Information Feedback

This stage serves two primary functions. First, the client and/or audience can use the information conveyed to plan more effectively for future action which will solve the convening problem or move the client system toward a specific goal or target. Some consultants (especially those who tend to stop at this stage of consultation) assume that the information feedback in and of itself will promote improvement, or at least change, in the client system. This assumption, in turn, is based on an image of "rational man": if he has more information, a person will make better decisions, because "information will strengthen perception and . . . clear perceptions are the key to solving many if not all problems."[15] Unfortunately, this does not always hold up, for the accumulation of information can yield power, which may or may not be used rationally or for the common good.

Information does not always translate into action. The factors that blocked the accumulation of information before the consultant was called in now may block new initiatives. Information collection itself can become a substitute for action, even a barrier to action. A consultant can be lured easily into a repeated cycle of information collection, analysis, and feedback which allows the client to avoid dealing with the risk and consequences of making hard decisions and taking concrete steps to alleviate problems identified during this cycle. One must acknowledge the role to be played by information feedback in helping the client system to plan and initiate action. However, one also must recognize the need to move to the following stages to increase the possibility that something will eventuate from the feedback of information.

A second function of information feedback is often ignored: the feedback enables the consultant to test his perception of reality in the client system. Feedback, in other words, provides yet another source of information—i.e., the reactions of various constituencies to information that has been collected already and to the way in which this information has been analyzed. This "feedback on feedback" or "confirmational" process can take place in a variety of settings and at several different times. If the client is not already involved in information analysis, the consultant may wish to meet with the client periodically during the analysis stage to check on the progress of the consultation, as well as to test out ideas. More informally, the consultant might wish to speak briefly with the client between interviews or observations to check out specific perceptions or hunches.

Confirmation can occur through individual or small group interviews. Interviewees are asked to respond to specific statements from a previous interview or to comment on an observation that has been made already. Interviewees might be asked questions which will directly confirm or disconfirm an hypothesis or tentative conclusion. Confirmation also can occur through the process of re-interviewing someone who has made a particularly controversial point, or of once again observing a particularly revealing activity.

Most frequently, confirmation or disconfirmation will occur during a formal information feedback session. When significant discrepancies are noted during these sessions, not only should more information be collected to confirm or disprove an hypothesis, alternative hypotheses should be formulated to account for discrepancies. In some cases, the analysis of reasons for the discrepancies will reveal a flaw in the information collection strategy. New methods can be employed, new sources of information can be identified, or new roles can be assigned to the consultant, client, or other collectors of data. A return to Stage 3 (information collection) often is warranted.

In planning for an information feedback session, one should be particularly sensitive to the language and images used. One should not simply report out themes, hypotheses, and conclusions as they are formulated by the consultant. Rather, a translation should occur (the hermeneutics of consultation). The information should be conveyed, orally or in written form, through the use of terms and images that are understood by the client and audience. The presentation should be interesting, persuasive, and a bit unpredictable:

> Like all stories, this one has a narrator who both views and comments on the action. The people—come to life, if at all, through the narrator's eyes and words. Sometimes the point of view is closely focused . . . where the narrator zooms in close to the characters and we understand a detailed rendering of setting and dialogue . . . At other points in the story, the point of view remains removed, as a narrator steps purposefully back from the action and describes a frame of reference from the literature . . . as background to the action. At other points, the narrator

steps aside from the primary characters and relates their sayings and actions to the views of others . . .[16]

An effective consultant will make use of many angles of approach: What is it like being "inside" this problem or this institution? What does this problem look like from the outside? What does this problem or program look like from the perspective of a student, a faculty member, an administrator, an alumnus? A variety of metaphors might be used. Ed Kelly of Syracuse University and Tom Harvey of La Verne College (California) often make use of classic myths to convey an idea (e.g., the Return of the Hero). In some settings, literary, religious, philosophical, historical, or scientific metaphors and analogies are appropriate. Anything a consultant can do to avoid behavioral science or educational jargon will enhance the presentation—especially when working with faculty in the arts and humanities.

The findings should be presented in a manner that maximizes their immediate use by the client and/or audience. A consultant should trace out the implications of the findings, or build a process (such as small group discussions or "caucuses") whereby the client or audience can discuss the implications during or after the presentation. In many instances, the consultant will want to generate a series of alternative responses to the findings, though only in the role of expert will the consultant want to recommend a specific course of action.

The findings will be of greatest use when made available to the client in as short a time as possible. This will take place if the client is involved actively with the consultant in information collection and analysis, and if the consultant makes a preliminary oral report on the findings before preparing a written report. An oral report maximizes the benefit of the feedback to the consultant, for reactions to the oral report may be used in the written version.

A written report will increase the number of people who are exposed to the finding—another goal of information feedback. An initial draft of the written report should be reviewed by the client. The client's comments and recommendations need not influence or be incorporated into the final draft; however, the consultant should be able to justify a decision not to incorporate them. Any process that increases a client's or audience's ownership of the product of these first stages of a consultation is to be encouraged, for client ownership at this stage increases the possibility that significant and appropriate actions will be taken during the last five stages of consultation. The next chapter describes these last five phases.

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[10] Parlett and Dearden, p. 18.

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[12] Chickering and others, Appendix C.

[13] William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development, Volume 1* (Washington, D.C.: Council for the Advancement of Small Colleges, 1975), pp. 163-65.

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[15] Blake and Mouton, p. 218.

[16] Edward F. Kelley and others, *A Story of Essence: The Portrayal of a Science Curriculum* (New York: Syracuse University, Center for Instructional Development, 1977), p. 2.

Document 2-1

Title: Phases in Planned Change*

Source: Billie T. Alban, NTL Institute, Arlington, Virginia

General Description:

This outline describes a process of consultation that closely resembles the 10-stage model presented in Chapters 2 and 3. "Phases in Planned Change" can be a useful checklist for consultants as they work through the various stages of consultation with their clients. It is also a useful handout for a consulting skills training workshop (see Chapter 7).

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Phases in Planned Change

PHASES	KEY ISSUES	ROLE OF CHANGE AGENT	STRATEGIES
1. Entry, start-up, initial contract	Recognizing your own motives and needs Finding out where the client is at Establishing relationship(s) Defining roles and expectations (yours and others) Defining client system(s) Defining client relationship to problem, his goals, motives, etc. Defining areas for data gathering Building support	Researcher Explorer Organizer Helper Host, party giver Joiner Presenter	Interviews group, individual Consultation Informal get-togethers Linking Creating
2. Data gathering and diagnosis	Define areas of stress—where is the pain? Define change problem Define change objectives Determine systems readiness and potential to change	Researcher Explorer Educator Mirrorer Giver of perspective Evaluator	Interview and feedback Survey feedback Observations and feedback Confrontation meeting Group meetings and discussion Problem census Giving support
3. Planning and implementation	Timing and readiness—when should we start? Resources—who can we get to help us—inside, outside? Identifying leverage points for entry and action Identifying areas of power and legitimation Priorities—most important, most urgent Determine types of intervention needed Consider consequences and impact on rest of organization, system or sub-system	Cartographer— where are we going? how do we get there? Helper Theorist Educator Trainer Seer Organizer Designer Evaluator	Individual change Managerial grid Sensitivity training Coaching Counseling Training Developing potential catalysts Life and career planning Achievement motivation Group and intergroup change Grid op Team building Training in group shell Intergroup labs and workshops Management by objectives Problem solving workshops
	Building understanding Building support systems Redefining contract, establishing new contracts		System changes Changes in work plan Changes in appraisal and evaluation methods Job enrichment Changes in reward system Matrix model, network, others EDP Temporary systems—formal and informal Capitalizing on intercultural potential

PHASES	KEY ISSUES	ROLE OF CHANGE AGENT	STRATEGIES
			Socio-technical systems Office landscaping and architecture Environmental interface changes Merger and acquisition Consumer-client organizations Inter-group conflict resolution Architectural interventions Lobbying Organizing the social environment Creating new parallel, competitive, or mediating institutions
4. Institutionalizing continued Planned change	Evaluation Self-contained competency Consultancy relationship—renew, change, terminate Maintaining constant awareness of growth and change inside and outside organization Planning	Evaluator Supporter Planner Planner of succession Trainer-developer	Developing internal resources Developing continued training, education, and re-education Developing norms and mechanisms for feedback, data gathering, evaluation, and planning as an integral part of the system Formalizing new structures

Document 2-2

Title: STP: A Model of Problem-Analysis*

Source: An expansion by William Bergquist on unpublished materials written by Frederick R. Fosmire and John L. Wallen

General Description:

This is a simple and straightforward tool for information analysis, planning, and conflict resolution. In its simplicity, the STP model is often misleading and not fully understood or appreciated at first glance. The power of this model (like all good models) usually is appreciated only when it is applied in an actual problem situation. With continued use, the model becomes increasingly valuable to a consultant in higher education.

The STP model can be taught through the use of short vignettes that are written down (see Exercise Number Eight in *A Handbook for Faculty Development, Volume 1*, pp. 186-88) or recorded on video tape. One can analyze the vignette according to the STP model, identifying those statements or issues that have to do with defining a situation, those that have to do with identifying a target, and those that have to do with formulating a proposal. In working through a vignette, one can clarify definitions of a situation, target, and proposal, and recognize the ways in which this model contributes to problem analysis.

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STP: A Model of Problem Analysis

Introduction

Usually when we as individuals, or members of a group or organization, are confronted with a pressing problem, we attempt almost immediately to generate solutions. While at times we have all experienced the gratification of rapidly producing an idea which will resolve a particularly complex problem, we also all undoubtedly have experienced the frustration associated with a problem which seems to be very elusive—we think we have developed one or more sound solutions yet soon find them to be inadequate or discover that they are adequate but unacceptable to other members of the group or organization. Alternatively, the solution solves the immediate problem, but it is not adequate as a long-range solution—or it creates other unexpected problems that are even more resistant to solution.

One approach to problem analysis and solution which seems to avoid these latter pitfalls at least partially is to emphasize the *concrete specification of desired outcomes.* The management-by-objectives (MBO) approach to administrative problem solving emphasizes the specification of outcomes (objectives), as does the criterion-referenced (CR) approach to instructional problems. In the case of both MBO and CR, it is assumed that problems often are not fully understood, analyzed, or solved, because we have not formulated these problems in terms of goals, objectives, or outcomes. Therefore, we cannot provide a direction for solution of the problem, or a basis for evaluating the extent to which a specific solution has been implemented successfully.

While the specification of a desired alternative state is essential for effective problem solving, it is also essential that a clear picture be gained of the current state of the individual, group, or institution in which the problem is being experienced. Without such a picture, the objectives, goals, or outcomes may be unrealistic, given current resources, strengths, or resistances, or if they are achieved, may contribute to other problems. Furthermore, often the problem is difficult to define. We feel uneasy, dissatisfied, frustrated, or tense—i.e., we feel the symptoms of the problem, but cannot readily identify the basis of these symptoms. Usually, these negative feelings are the result of a desirable alternative event, outcome, or state that is articulated unclearly, and is not yet achieved—i.e., a goal or objective. These outcomes are clarified only to the extent that we understand our current situation—i.e., a problem exists when we experience a *discrepancy* between the *current conditions* (of which we are usually somewhat aware) and *desired alternative conditions* (of which we are usually unaware).

In solving a problem, we must do more than just prevent the recurrence of the undesirable symptoms. A problem is not defined adequately until three distinct, but related, sets of information have been made implicit: (1) the relevant characteristics of the current condition, (2) the key attributes of the desired alternative condition, and (3) the forces that facilitate or impede our moving from the current to the desired condition. The solution of a problem involves taking action which is supported by members of the group or organization and which will change current conditions into the more desired alternative conditions.

The STP Model

The STP model is a method of organizing information to define a problem and to resolve or manage conflict that occurs in creating a solution. Information is organized into three interrelated dimensions.

The *Situation* Dimension: Information about (a) the essential features of the current state, and (b) the forces that facilitate and impede moving to a more desired state.

The *Target* Dimension: The desired state. What we want to accomplish and to avoid. Targets are chosen because those working on the problem value and desire them; they are not imposed. (Imposed requirements are part of the situation dimension.) Targets are always more general than proposals; the same target may be achieved by different proposals.

The *Proposal/Plan* Dimension: Specific action proposals aimed at changing the current state into the desired state. "Who will do what by when?" Any proposal for action always implies some view of the situation and of the target. Here are some common expressions and terms that fit into the three dimensions:

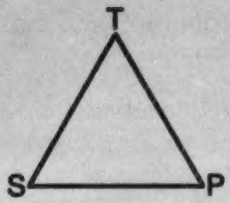
Situation	**Target**	**Proposal Plan**
Starting point	**Termination**	**Path from S to T**
Facts, opinions, explanations about the current conditions, predictions about efforts to change	Goals, aims, ends, values, purposes, objectives	Means, plan, strategy, implementation, procedure
Environment as the group perceives it	Outcomes desired by the group	The group's behavior

Joint Inquiry with the S-T-P Model

The Dimensions are Interdependent: An utterance about any of the dimensions encodes information about other dimensions. The meaning of the speaker's information for any dimension is clarified and elaborated by his view of the other dimensions.

Dimensions	**Type of Interdependence**
Situation—Target	*Comparison:* Dissatisfaction with S reflects what T is implied as standard of comparison. T transforms what is unsatisfactory about current S.
Target—Proposals	*Implementation:* means-end T defines results desired from P. P embodies assumptions about what conditions alternate to S are desired.
Proposals—Situation	*Limitation:* P embodies assumptions about causes of unsatisfactory features of current S and resources and requirements for change. S limits which proposals might be effective and feasible in accomplishing T.

Because the three dimensions are coupled so closely, it is helpful to think of them as a single, interacting unit (as shown in the diagram below), rather than as three separate factors related in a straight-line sequence from S to T to P.



A shared understanding of the problem-analysis exists when each party to the joint inquiry understands the situation, target, and proposal dimensions from the others' point of view. Such a shared understanding is the objective of joint inquiry.

Effective Joint Inquiry Recycles Rather Than Follows a Fixed Sequence

Recycling Among S-T-P: It is usually ineffective to try to work on one dimension at a time. Agreement does not need to be reached first on S, then on T, and finally on P. Such a rigid, mechanical sequence may arouse resentment or feelings that a comment out of sequence is inappropriate; this can stifle creativity and decrease involvement.

In a recycling approach, the group discusses the problem freely and spontaneously, contributing information about S or T or P as it occurs to them. Any proposal may reveal new targets or new information about the situation. Comments about S or T, likewise, may result in information in any dimension. The form in which the information will be organized need not dictate the form of the inquiry. The interaction can be spontaneous, although the information generated is recorded in three columns (or separate sheets of newsprint) headed "Situation," "Target," and "Proposals." Entries can be made by the group.

Translating from S: When the speaker gives information about the situation . . . you can elicit *Target* information (S——T) by such questions as:

If you could change the present situation, what would you want to accomplish?
What's missing in the present situation that you want?
What would be your goal in improving the situation?

. . . you can elicit *Proposals* (S——P) by such questions as:

What might be done to improve that?
What kind of action does that seem to require?
What plan would use that resource?

Translating from T: When the speaker states targets . . . you can elicit *Situation* information (T——S) by such questions as:

In what ways does the present situation fall short of that goal?
Why does the present situation fall short of that goal?
What forces for improvement are there for reaching that goal?
What obstacles stand in the way of reaching that goal?

. . . you can elicit *Proposals* (T——P) by such questions as:

What might be a possible way to accomplish that?
What steps might lead toward that goal?

Translating from P: When the speaker makes proposals . . . you can elicit *Situation* information (P——S) by such questions as:

To improve what? (What might improve in the present situation?)

To deal with what? (What might that take into account or deal with?)
What resources are there for doing that?

. . . you can elicit ***Target*** information (P——T) by such questions as:
To accomplish what? In order to . . . ? At what goal does that proposal aim?

Recycling Between General and Specific: Inquiry requires both appropriate generalizations and specific facts. Effective joint inquiry requires skill in moving between generalizations and specific factual data in ways that reduce unsupported generalizations and inferences, as well as unrelated details.

Situation: The object of joint inquiry is to create a description of the current situation which can be understood and accepted by different group members.

General symptoms ("lack of communication") are less helpful than specific examples ("I'm usually not told of Council meetings until just before they occur.") Specific facts and empirical data describing the current situation should be related to inferences and generalizations about (1) the causes of the key features of the current situation, and (2) the forces that facilitate and those that impede change to a more desirable state.

Key questions for moving toward ***specifics*** include: What is the evidence? How can we find out what the facts are? What facts support that inference or generalization?

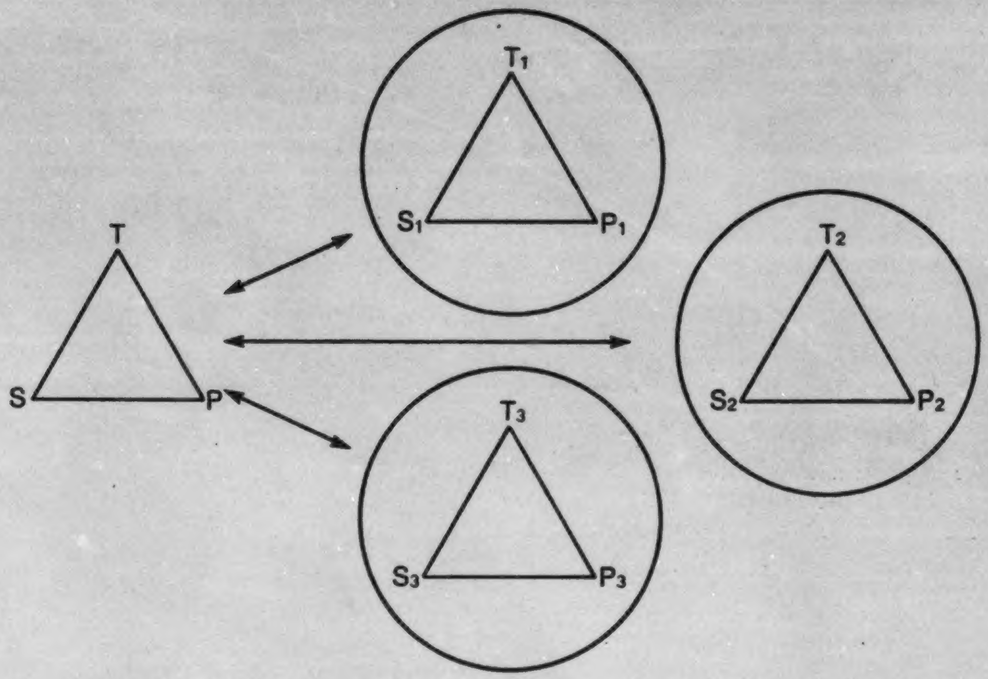
Key questions for moving toward ***generalizations*** include: What do you infer from that? What causes that? How are those incidents related?

Target: The object of joint inquiry is to create a set of targets that will pass two tests: (1) is it general enough that it truly states a goal, objective, or end condition toward which activities are directed and not the activities themselves? The key question is, "To accomplish what?" If a target statement cannot reasonably be seen as the answer to the key question, it is probably an action proposal. (2) Is it specific enough that group members will be able to agree that a target has or has not been reached? The key question is, "How will we know when the goal has been achieved?"

Inquiry in the target dimension will recycle from general to specific until the targets satisfy both requirements.

Proposals: The object of joint inquiry is to create a plan of action that is specific enough that various people can agree about who is to do what when. Inquiry probably will move from general proposals to specific, detailed plans of action. The key question moves from a general proposal to more specific details. "How would that be carried out?" "Who needs to do what by when?"

Some problems are broad and complicated and require varied expertise and skills. The analysis of such a problem may proceed like a set of nested boxes. Initial problem-analysis may result in a general proposal to "subdivide the problem in such-and-such ways for study and action planning." This can produce a series of joint inquiries into different aspects of the general problem as shown in the diagram.



Conflict Analysis With the S-T-P Model

Conflict Resolution: Creation of alternatives which all will support because they accept the facts, reasoning, and objectives leading to the decision—consensus.

Conflict Management: Conflict is controlled but not eliminated by group endorsement of alternatives which are minimally damaging to all parties.

	S_1 vs S_2	T_1 vs T_2	P_1 vs P_2
NATURE OF ISSUE	*Empirical:* What are the facts? *Logic:* What are the causes?	Values Arbitrary preferences	Logic Reasoning Imagination
CRITERIA FOR CHOOSING FROM ALTERNATIVES	Inter-observer reliability Convergence of data Commitment to data source Inferential reasoning	Intensity of preferences among members Equity among members—e.g., "Whose turn?" "Who must face the consequences?"	Logic in matching P to S/T Elegance, simplicity Risk-cost Feasibility
DECISION-MAKING STRATEGY	Conflict resolution	Brief try for conflict resolution; shift to conflict management—by vote or other acceptable method	Conflict resolution

	S_1 vs S_2	T_1 vs T_2	P_1 vs P_2
ROLE OF LEADER	Helps group find accurate relevant data, draw inferences from data	Helps group try to combine Ts Encourages inquiry regarding intensity of preferences and beliefs of what is equitable Helps group find acceptable method for choosing Uses "legitimated" power to resolve deadlocks	Encourages logical analysis and reasoning in comparing Ps Encourages imagination in creating new alternatives

Pseudo-Conflict: When information from one dimension is used as an argument against information from a different dimension (S vs T, S vs P, T vs P), the conflict is only apparent; the real conflict is between alternatives within the same dimension.

Document 2-3

Title: The Task-Method-Process Approach to Group Functioning*

Source: An expansion by William H. Bergquist and Nancy Barber on unpublished materials by Frederick R. Fosmire and John L. Wallen

General Description:

As in the case of the STP model, this tool for analysis of group problems becomes increasingly impressive and practical when used to work on a real problem. This model differs from most found in the field of group dynamics in that the authors emphasize method issues, as well as task and process. The problem solver or consultant is encouraged to become a small group architect who designs a method for group functioning that meets two different group concerns (task and process) that often seem to conflict.

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* Used by permission of Frederick R. Fosmire, Ph.D., Department of Psychology, University of Oregon, and John L. Wallen, Ph.D., Neotsu, Oregon.

The Task-Method-Process Approach to Group Functioning

Basic Assumptions of the Model

A group of individuals convened to accomplish a specific task must, in addition to completing the task, successfully address themselves to issues that develop in the group which at first may seem unrelated to the task or decision at hand. These concerns may be seen as internal to the group's functioning, as distinct from those associated with accomplishing the task, which may be seen as external to it. Two kinds of issues may develop in a task group: those which focus on the method the group uses to work at the task, and those which emerge from and are related to group process and interpersonal relations. To function effectively at performing the demands of the convening task and to reach effective decisions concerning that task, a group also must deal successfully on a continuing basis with the method and process issues associated with the task.

Task, Method, and Process

Task Issues are those which are directly related to accomplishing the goals mutually and explicitly defined by the group as its reason for being.

Examples of task issues:

1. Which of these proposals solves the problem most effectively?
2. Shall we approve this new course?
3. What will be our criteria for judging whether this project is successful?

Method Issues are those which focus specifically on the means by which the group will work at the task.

Examples of method issues:

1. How are we going to make decisions in this group?
2. How do we insure that the opinions of each member of the group are given an adequate hearing?
3. How long should this meeting last?

Process Issues are those related to both the relationships developed through working on the convening task and personal feelings which members may have brought to the group or developed during its meetings.

Examples of process issues:

1. I feel isolated from the group and hurt by the apparent lack of concern of other members.
2. I really enjoy working with members of this group.
3. Jim and Susan never seem to be paying attention to me when I express an opinion they don't agree with.

Task, method, and process issues are closely interrelated and tend to stimulate each other. For example, a group may be having a great deal of trouble arriving at a satisfactory decision-making procedure; this looks like a method issue. However, if what is blocking the group is a contest for leadership and influence between two members of the group, the group is faced with a process issue, and no amount of work at the method level will resolve the difficulty. Both method and process concerns may be disguised as task work, with the group struggling to reach a decision on a task issue while process difficulties build up and multiply.

A Mechanistic Analogy

In many ways, the functioning of a decision-making group is comparable to the functioning of any other task-oriented system. A mechanical system, for instance, exhibits dynamics in many ways similar to those of task, method, and process. A machine is designed initially to accomplish a specified task, for example, producing an automatic transmission. This design stage is similar to the state of group development in which methods are considered: The group must be designed to accomplish the assigned task. Once a machine is designed and built, it must be able to accomplish its mission successfully—produce the transmission. This corresponds to task work in the group. But a machine, when it functions, should generate a minimum amount of friction, for in the short run, friction will reduce efficiency and, in the long run, excessive friction will require considerable maintenance to keep the system operating. Similarly, a group must be designed in such a way as to accomplish its task with a minimum amount of disruptive interpersonal friction. Negative process issues (hurt feelings, anger, fear, mistrust, poor communication) have been shown to reduce the immediate efficiency and, eventually, to necessitate costly, time-consuming maintenance.

A group, like any human system, differs in some significant respects from a mechanical system. A human system incorporates emotional components, memory, and the capacity to learn. These factors combine to make the specific functioning of a task group significantly less predictable than that of a well-designed machine. In practice, this means that the method or design issues must be approached in a tentative and experimental manner. What appears to be a satisfactory decision-making procedure at the first meeting may turn out by the third meeting to be inappropriate to the task. For instance, the group members may decide initially to make all decisions by consensus, but discover as they work on their task that the job is just too large and the time too short to permit effective consensus decision making. The group may use that information to revise its decision, subdivide the task, and form small task forces. Or, the initial method decision may generate process problems, like feelings of exclusion or not being heard, and the procedure will have to be adjusted to a more equitable one. The spirit of tentativeness which we recommend in dealing with method issues is less appropriate for task and process concerns; however, in task and process areas, the effort of the group is always to move toward final resolution of problems.

Interrelationship Among Task, Method, and Process

The issues surrounding method discussions are central to the task and process dimensions of group functioning. Effective methods allow for both satisfactory performance of the task and high group morale (positive process). A decision, for instance, which after careful deliberation about alternative choices has the support of all or most members of the group, usually will be a good decision, as well as one which all members of the group are committed to implementing. Similarly, the task and process dimensions of group functioning are closely interrelated. If the group does not succeed in solving task problems and moves toward implementing good task decisions, its members either develop negative feelings about the group, thus further impeding success at the task, or begin to distort reality by creating scapegoats, denying failure, etc. A group with serious and unresolved process problems rarely performs effectively at the task level. Disaffected members sabotage the task as a way of dealing indirectly with their neglected process needs.

Use of T-M-P Model in a Decision-Making Group

An effective decision-making group usually will begin its work at the method level; it will decide how it is going to decide. Consideration also will be given to immediate process issues; the group may wish to deal with personal goals related to the task, with interpersonal difficulties some members bring into the group from previous contact with the same people, and with issues of inclusion and influence. If method decisions are appropriate to the group and task, and if the process issues are dealt with, the group will spend most of its time working effectively at making decisions. Most decision-making groups, however, have a tendency to begin their work at the task level and to remain there. Method and process concerns, as they emerge, are seen as disagreements over the decision, to which the response is frequently to push harder at trying to make the decision. As the group continues to beat its head against the task wall, process issues emerge in more or less undisguised form: "That's what you said the last time, and look what happened!" "You male chauvanists just won't accept any idea from a woman, will you?" At this point, without rapid group attention to the neglected process and method issues, the group is dangerously near dissolution.

An effectively operating group will tend to work at all three levels at different times. When issues cannot be resolved easily at the task level, the group will move rapidly to consideration of its methods, to determine if those methods and procedures are impeding making a decision. Inadequate problem resolution at this level may indicate a need for the group to shift its attention to the feelings, personal goals, and relationships in the group.

This moving through task, method, and process issues may occur during a period of several hours, days, or even years. Initially the process is a self-conscious ones, and feels artificial to group members. Over time, as the group develops, the process becomes more natural and efficient; members acquire skills at diagnosing the level of group difficulty and in directing the group attention to their perceptions. In a decision-making group with a very long life, like a project team working together over several months or years, effective group methods become fairly stable, so that unless the composition of the task or the group changes radically, there is less need for constant re-examination. Similarly, relationships stabilize, and there are fewer process problems arising from the need to negotiate satisfactory relationships within the group. A group can work most effectively therefore if it can remain *flexible* so that it can move easily from task to method to process issues, and if it can come to believe that the observation and analysis of the group process is of value so that the group can move to the appropriate level with a minimum of failures and trial-and-error learning.

CHAPTER 3

The Consulting Process II: Action-Oriented and Exiting Stages

STAGE 6: Recontracting

After the conclusion of the initial information-oriented stages of consultation described in Chapter 2, it is essential that the client and consultant reflect on their progress and determine the ways in which this progress clarifies or alters the nature of their working relationship. If a reassessment of expectations, roles, goals, or concerns is not needed, the client and consultant have been either extraordinarily insightful and prophetic at the outset, or the information being generated and findings being conveyed were not new to the client or were of little practical value. On the other hand, extensive and disruptive recontracting will not be necessary if the client and consultant formulated the original contract (Stage 2) in a deliberate manner, and if the client has been kept fully informed of developments during the initial five stages of consultation.

Explicit recontracting usually will not occur without the direct encouragement of the consultant. The client should be invited to sit down with the consultant to discuss the consultancy and to begin planning for next steps (leading to Stage 7). When the consultation is complex, an in-person discussion is preferable to a telephone conversation at this point. Furthermore, the group meeting for this recontracting should be small so that discussion can be candid and productive. Input from other sources (the audience) should be brought in by the client and shared openly with the consultant.

In some instances, the consultation will terminate at this point, the client having obtained sufficient information and insight into the problem to be able to move ahead on his own. In other instances, the consultation will have just begun. The client and consultant will plan for one or more interventions that, it is hoped, will build on the information that has been provided already through the first stages of consultation, and will be compatible with the newly reformulated client-consultation contract.

STAGE 7: Planning For Intervention

In beginning the process of translating data into action, it is essential that the client and consultant give adequate attention to the goals and strategies of intervening in the client system. With regard to goals, the client and consultant first have to decide whether the current situation warrants change or stabilization. One need not begin with the assumption that change is essential to solution of a current problem. Change is appropriate in those instances where there is significant discrepancy between the current situation and the desired (target) situation. In other instances, a series of precipitous changes, or the client's failure to accept or acknowledge the strength and sources of gratification in the current situation, may indicate the need for stabilization.

The client and consultant must decide what the specific objectives and strategies will be for accomplishing their change or stabilization goal. The tool called "cross-impact matrix," which we identified in Chapter 2 as a valuable information analysis tool, can be used to identify goals for a consultative intervention. A client frequently is in a quandary concerning which goals should be given priority in the selection of an intervention strategy. A cross-impact matrix enables one to make this difficult decision more easily by differentiating between "enabling" and "outcome" goals.

An enabling goal is one which is not in and of itself important, but, when accomplished, increases the probability that other goals will be accomplished which are themselves important (outcome goals). A cross-impact analysis of goals is accomplished by listing six to 12 goals of the consultation that might be accomplished through an intervention. The client, with the assistance of the consultant, then systematically rates the extent to which each of these goals, if accomplished, would increase, decrease, or not affect the probability of each of the other goals being achieved. One or two enabling goals are then selected from this matrix analysis.

In most instances, the initial intervention of a consultant should focus on the achievement of an enabling goal. Such a goal often can help break an organizational "logjam" and may have a greater impact than had been anticipated initially. By selecting an enabling goal, a client often can avoid deenergizing debates over the priority to be assigned to two significant outcome goals.

In planning for an intervention one also can make use of another information analysis tool mentioned above, "force field analysis." The client and consultant should conduct a force field analysis specifically with reference to the enabling goal that has been selected for the intervention. In this way, the information collected in previous stages can be focused fully and systematically on a specific goal.

A third tool is morphological analysis.[1] This somewhat lengthy analytic process is particularly useful when a client and consultant are initiating an untested program or working in a complex and unpredictable environment. A morphological analysis requires that one identify four to eight of the elements in the client system that are particularly relevant to the intervention. These might include the number of people who will attend the intervention; the level of central administrative, faculty, or student support for the intervention; or the funds available to do the intervention.

The client then identifies the range of possible values for each element. The number of people participating in the intervention, for instance, might range from one to all members of the institution. The level of administrative support might range from no support to full participation in all aspects of the intervention. Three to five intermediate values are identified along with the two extreme values—e.g., one participant, five participants, 15 participants, 30 participants, 100 participants, and all members of the institution.

The client and consultant then briefly consider the ways in which the intervention might take place given each possible combination of values for the four or more elements. What might the intervention look like, for instance, if there were 30 participants, no administrative support, and $1,000 available for the intervention? In creating these various scenarios, the client and consultant not only can plan for many different contingencies, but they also can determine which elements are most important to the success of the intervention and which elements are most likely to have the greatest impact on the design of the intervention.

At this point, the client and consultant are ready to develop or choose specific strategies for intervening in the system. The force field and morphological analyses often will lead one directly to a decision. The client and consultant should select a strategy which will reduce some of the forces blocking accomplishment of the enabling goal. One rarely will be successful if more positive forces are added without reducing one or more negative forces, for new negative forces usually will appear any time there is significant movement toward a goal. People who have never opposed a program, for instance, may begin to oppose it when they see that the program is making real progress toward a goal they do not support. The client and consultant also might wish to focus on those forces that appear on both the positive and negative sides of the force field ledger. Are there certain ways in which the negative aspects of the force can be diminished or bypassed?

Similarly, are there certain negative forces which are significant and resistant to change that can be isolated or bypassed?

The morphological analysis will be particularly useful if one identifies all of the probable elements of and participants in the situation in which the consultancy will take place, then plans a consultancy that is responsive to them, as well as several "backup" interventions if these elements are not present. For example, an intervention might be planned for 30 participants (assuming this is the number of participants most likely to come to the intervention). Plans also should be formulated for an intervention that involves 15 or 100 participants (the potential number that lie just above or below the predicted value of 30).

In planning for an intervention, one need not begin from scratch. Years of accumulated experience and many written descriptions of various intervention strategies are available. These descriptions, however, are of use only if the client and consultant have done their preliminary planning to ensure that the intervention matches the "enabling" goals of the client system (cross-impact analysis), takes into account the positive and negative forces within and acting on the client system (force field analysis), and is tested out with reference to several possible states of the client system in which the intervention will take place (morphological analysis).

STAGE 8: Intervention

This stage is not only the most public and potentially the most significant stage in the consultation process, it is also the stage which is most idiosyncratic and, therefore, most difficult to describe and generalize about. By definition, any intervention that is responsive and tailored to the specific needs of a client system will be unique and of limited general application. Therefore, we will not describe specific intervention strategies in great detail, but rather several general categories of interventions which a client and consultant can use in designing their own specific intervention.

Several authors have attempted to categorize different families of interventions. Blake and Mouton[2] identified nine, distinguishing primarily among the types of problems being addressed:

1. *Discrepancy*. This intervention calls attention to contradiction in action or attitudes. This kind of confrontation is useful for keeping the organization on a new course . . . , rather than allowing it to shift unwittingly into old and less satisfactory behavior patterns, due to momentary pressures.
2. *Theory*. A second kind of intervention is where a confrontation draws on behavioral science concepts and theory to throw into bold relief the connection between underlying assumptions and present behavior. In addition, theory sometimes can be useful in predicting the consequences likely to follow from embarking on any specialized course of action.
3. *Procedural*. A critique of how various steps of effort in organization development activities may or may not aid problem solving.
4. *Relationship*. This kind of intervention focuses attention of participants on issues which arise between people as they work together. It is needed to reduce or to eliminate interpersonal frictions. With this focus of attention on personal feelings, particularly strong negative tensions which hinder coordinated effort, emotions can be examined and resolved.
5. *Experimentation*. Another intervention involves experimentation which permits testing and comparing two or more courses of action *before* a final decision is taken, particularly when the way to proceed has become institutionalized or tradition-bound.
6. *Dilemma*. A dilemma intervention, which aids in accurately identifying a choice point in managerial actions, often can help members reexamine outworn assumptions and search for alternatives other than those under consideration.
7. *Perspective*. Many times in the intensity of the effort applied in production settings, it seems almost inevitable that individuals or teams will lose their sense of direction. Thereafter, it is increasingly difficult to reestablish a course of

action which can move the situation away from momentary problem solving toward larger issues. A perspective intervention permits present actions to be evaluated by providing a background of broader historical orientation.

8. *Organization Structure.* It is possible to think of many organization development efforts which leave the very structure of the organization unevaluated and unexamined. Students of organization change are correct in pointing out that many causes of organizational effectiveness are not found in procedures or team effectiveness or even in the absence of performance goals. Rather, the fabric of the organization itself can prevent communication, decision making and the application of effort from being as effective as it might be under different organizational arrangements. An organizational intervention focuses on issues which confront the total organization membership or its various subcomponents.
9. *Cultural.* A "cultural" intervention examines traditions, precedents and established practices which constitute properties of the organizational fabric itself. Challenging the appropriateness of organization culture is difficult, because it permeates actions in such a silent way. Yet, the great challenge is to bring organization culture under deliberate management. The intervention which lifts up culture for examination may indeed be one of the most critical of all.

48 The categories of interventions that were identified by French and Bell[3] tend to reflect on differences in the activities that are incorporated in an intervention rather than on the nature of the problem being confronted.

Diagnostic Activities: fact-finding activities designed to ascertain the state of the system, the status of a problem, the "way things are." Available methods range from projective devices like "build a college that represents for you your place in this organization" to the more traditional data collection methods of interviews, questionnaires, surveys, and meetings.

Team-building Activities: activities designed to enhance the effective operation of system teams. They may relate to task issues, such as the way things are done, the needed skills to accomplish tasks, the resource allocations necessary for task accomplishment; or they may relate to the nature and quality of the relationship, between the team members or between members and the leader. Again, a wide range of activities is possible. In addition, consideration is given to the different kinds of teams that may exist in the organization, such as formal work teams.

Intergroup Activities: activities designed to improve effectiveness of interdependent groups. They focus on joint activities and the output of the groups considered as a single system rather than as two subsystems. When two groups are involved, the activities are generally designated intergroup or interface activities; when more than two groups are involved, the activities are often called *organizational mirroring.*

Survey-Feedback Activities: related to and similar to the diagnostic activities mentioned above in that they are a large component of those activities. However, they are important enough in their own right to be considered separately. These activities center around actively working the data produced by a survey and designing action plans based on the survey data.

Education and Training Activities: activities designed to improve skills, abilities, and knowledge of individuals. There are several activities available and several approaches possible. For example, the individual can be educated in isolation from his work group (say, in a T-group comprising strangers), or he can be educated in relation to his work group (say, when a work team learns how better to manage interpersonal conflict). The activities may be directed toward technical skills required for effective task performance or may be directed toward leadership issues, responsibilities and functions of group members, decision making, problem solving, goal setting and planning, etc.

Technostructure: activities designed to improve the effectiveness of the technical or structural inputs and constraints affecting individuals or groups. The activities may take the form of experimenting with new organization structures and evaluating their effectiveness in terms of specific goals or devising new ways to bring technical resources to bear on problems.

Process Consultation Activities: activities on the part of the consultant "which help the client to perceive, understand, and act upon process events which occur in the client's environment." These activities perhaps more accurately describe an approach, a consulting mode in which the client is given insight into the human processes in organizations and taught skills in diagnosing and managing them. Primary emphasis is on processes such as communications, leader and member roles in groups, problem solving and decision making, group norms and group growth. Emphasis is also placed upon learning how to diagnose and develop the necessary skills to be effective in dealing with these processes.

Grid Organization Development Activities: activities invented and franchised by Robert Blake and Jane Mouton, which comprise a six-phase change model involving the total organization. Internal resources are developed to conduct most of the programs which may take from three to five years to complete. The model starts with upgrading individual managers' skills and leadership abilities, moves to team improvement activities, then to intergroup relations activities. Later phases include corporate planning for improvement, developing implementation tactics, and concluding with an evaluation phase assessing change in the organization culture and looking toward future directions.

Third-Party Peacemaking Activities: activities conducted by a skilled consultant (the third party), which are designed to "help two members of an organization manage their interpersonal conflict." They are based on confrontation tactics and an understanding of the processes involved in conflict and conflict resolution.

Coaching and Counseling Activities: activities that entail the consultant or other organization members working with individuals to help them (1) define learning goals; (2) learn how others see their behavior; (3) learn new modes of behavior to see if these help them to achieve their goals better. A central feature of this activity is the nonevaluative feedback given by others to an individual. A second feature is the joint exploration of alternative behaviors.

Life and Career-Planning Activities: activities that enable individuals to focus on their life and career objectives and how they might go about achieving them. Structured activities lead to production of life and career inventories, discussions of goals and objectives, and assessment of capabilities, needed additional training, and areas of strength and deficiency.

Planning and Goal-Setting Activities: activities that include theory and experience in planning and goal setting, utilizing problem-solving models, planning paradigms, ideal organization vs. real organization "discrepancy" models, and the like. The goal of all of them is to improve these skills at the levels of the individual group, and total organization.

French and Bell[4] also suggest two different ways in which these 12 "families" of interventions might be compared and contrasted with one another. They are illustrated in Figure 3-1 and Figure 3-2.

FIGURE 3-1

Individual vs. Group Dimension

Focus on the Individual	Focus on the Group
Role analysis technique Education: technical skills; also decision making, problem solving, goal setting, and planning Career planning Grid OD phase 1 (see also below) Possibly job enrichment and Management by Objectives (MBO)	Technostructural changes Survey feedback (see also below) Confrontation meeting Team-building sessions Intergroup activities Grid OD phases 2, 3 (see also below)

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*This figure and the one that follows are reprinted from Wendell L. French, Cecil H. Bell, Jr., ORGANIZATION DEVELOPMENT, © 1973, pp. 102-104. Adapted by permission of Prentice-Hall, Inc., Englewood Cliffs, New Jersey.

FIGURE 3-1 (continued)

Individual vs. Group Dimension

Focus on the Individual	Focus on the Group
Life planning Process consultation with coaching and counseling of individuals Education: group dynamics planned change Stranger T-groups Third-party peacemaking Grid OD phase 1	Survey feedback Team-building sessions Intergroup activities Process consultation Family T-group Grid OD phases 2, 3

FIGURE 3-2

Relationship Between Target Group and Intervention Type

Target Group	Types of Interventions
Interventions designed to improve the effectiveness of INDIVIDUALS	Life and career planning activities Role analysis technique Coaching and counseling T-group (sensitivity training) Education and training to increase skills, knowledge in the areas of technical task needs, relationship skills, process skills, decision making, problem solving, planning goal setting skills Grid OD phase 1
Interventions designed to improve the effectiveness of DYADS/TRIADS	Process consultation Third-party peacemaking Grid OD phases 1, 2
Interventions designed to improve the effectiveness of TEAMS & GROUPS	Team building: task directed, process directed Family T-group Survey feedback Process consultation Role analysis technique "Start-up" team-building activities Education in decision making, problem solving, planning, goal setting in group settings

FIGURE 3-2 (continued)

Relationship Between Target Group and Intervention Type

Target Group	Types of Interventions
Interventions designed to improve the effectiveness of INTERGROUP RELATIONS	Intergroup activities: process directed, task directed Organizational mirroring (three or more groups) Technostructural interventions Process consultation Third-party peacemaking of group level Grid OD phase e Survey feedback
Interventions designed to improve the effectiveness of the TOTAL ORGANIZATION	Technostructural activities Confrontation meetings Strategic planning activities Grid OD phases 4, 5, 6 Survey feedback

A similar, though much more complex, graphic model of different intervention strategies has been offered by Schmuck and Miles,[5] based on their experiences in doing consultation with school systems (see Figure 3-3).

All three of these models are somewhat limited in scope for they deal primarily with the use of consultative interventions to bring about organizational change and development, though Blake and Mouton's categories are clearly intended to be broader in scope. Both French and Bell's and Schmuck and Miles' models cluster a large number of diverse consultative interventions that are expert-oriented under a single category—"structural-technical"—because this type of intervention is used infrequently during organizational development (OD) consultation. Many consultants in higher education, however, make extensive use of this type of intervention; hence, a more detailed subdivision in this type of intervention seems appropriate.

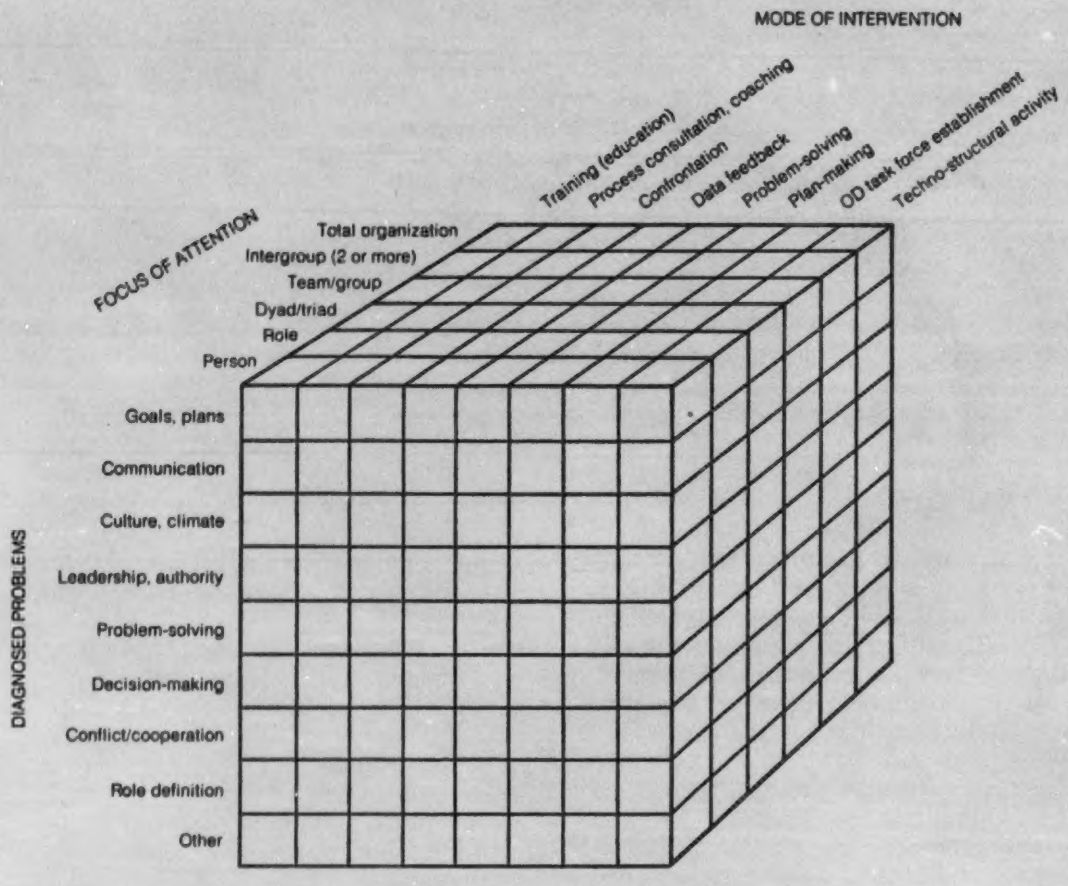
In several instances, these three systems have incorporated previous stages in the consultation process (particularly data collection, analysis, and feedback). The inclusion of other consultative activities in a survey of consulting strategies is appropriate, for a consultation may terminate before moving to the later action-oriented stages; hence, the information stages themselves constitute the "intervention." A consultant and client, however, should be aware that they are stopping short of action when they make use of these information-oriented "interventions"—e.g., survey-feedback or process consultation.

We have chosen to group and describe various interventions with reference to Goodwin Watson's three-part description of change processes. Watson[6] believes that most change efforts can be defined as a change in *structure*, *process*, or *attitude*. Some interventions may be described as oriented primarily to change or stabilization in the structure of the client system in which the intervention is taking place, whereas other interventions are oriented to change or stabilization in the ways people are working with and relating to one another in this structure (process intervention) or to the ways in which people think about, feel about, and value what they are doing in the system (attitudinal intervention).

At the heart of most structural interventions is an educative process. The consultant cannot compel a client to bring about structural change or stabilization, but he can tell the client something that the client wants to know to accomplish this change or stabilization.

FIGURE 3-3

The OD Cube: A Scheme for Classifying OD Interventions*



1. Training or education: procedures involving direct teaching or experience-based learning. Such technologies as lectures, exercises, simulations, and T-groups are examples.
2. Process consultation: watching and aiding on-going processes and coaching to improve them.
3. Confrontation: bringing together units of the organization (persons, roles, or groups) which have previously been in poor communication; usually accompanied by supporting data.
4. Data feedback: systematic collection of information, which is then reported back to appropriate organizational units as a base for diagnosis, problem solving, and planning.
5. Problem-solving: meetings essentially focusing on problem identification, diagnosis, and solution invention and implementation.
6. Plan-making: activity focused primarily on planning and goal setting to replot the organization's future.
7. OD task force establishment: setting up ad hoc problem-solving groups or internal teams of specialists to ensure that the organization solves problems and carries out plans continuously.
8. Techno-structural activity: action which has as its prime focus the alteration of the organization's structure, work-flow, and means of accomplishing tasks.

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*Reprinted from Schmuck, R. A. & Miles, M. B. *Organization Development in Schools*. La Jolla, California: University Associates, 1976. Used with permission.

What is meant by a *structural intervention?* This term may refer to the way in which an institution is organized: roles, job description, reporting relationships, personnel policies, etc. A consultant might, for instance, help a client design a new administrative compensation system or a new procedure for arbitrating employee grievances. A second type of structural intervention is technical assistance. A consultant helps a client make use of a new piece of equipment, building, or classroom. Program design consultation can be considered a third type of structural intervention, and includes everything from assisting a college to design a fund-raising campaign to helping a faculty member design a new course.

A *process-oriented intervention* requires a consultant to work through the client to solve a problem by helping the client to improve his own problem-solving skills to deal with a specific issue. A consultant might conduct a workshop on course design or fund-raising campaigns, for instance, rather than directly helping the client to design the course or campaign. Similarly, a process intervention might involve a management or leadership training seminar or an interpersonal skills workshop. While structural interventions tend to rely on the consultant as educator, process interventions place the consultant in the role of trainer or coach.

The third type of intervention—*attitude*—is usually the most elusive of the three. To bring about change or stabilization in attitude, one must "raise consciousness" through serving as a model, confronting the client, educating the client, training the client, or simply allowing the client to gain new insights from his own experience. Many interventions initiated during a short-term consultation are directed toward attitude change or stabilization. People do not necessarily leave a speech or short-term workshop with new skills to confront a problem or with a specific set of recommendations concerning structural change. Rather, if the speech or workshop is successful, the participants probably have left with an increased interest in the problem, an increased optimism about the chances of solving the problem, or with some ideas about which type of problem-solving strategy is most appropriate—i.e., attitude changes.

In general, structural interventions are difficult to enact, especially over a short period of time or with meager financial or personnel resources. Process interventions are easier to initiate, but usually are viewed with suspicion by the audience or client—who often brands this type of intervention "touchy-feely." At one level, attitudinal interventions are the safest, for the outcomes of a successful attitudinal intervention do not necessarily translate into real impact on the client system. At another level, when attitudinal interventions are pursued intensively and over a long period of time (as in personal growth workshops), the impact may be profound, sustained, and controversial.

Change or stabilization at the attitudinal level does not necessarily produce the same results at the process or structural level. A similar statement could be made with reference to the impact of each of the other two levels. Goodwin Watson advocated that change (or stabilization) of any magnitude must be brought about at all three levels, through a variety of coordinated interventions. A consultant and client must plan either for a series of interventions that touch on all three levels, or must decide that change or stabilization will be limited—at least initially—and select the type of intervention that most closely matches the convening problem or need.

A structural intervention is particularly appropriate when the client system is "mature"—i.e., when the system has been addressing the problem thoughtfully for an extended period of time and has arrived at general agreement as to the value and appropriateness of this particular structural intervention. Since structural interventions are consequential for many people and not easily halted once started, a client should be confident about the decision. One should look at the existing resources before initiating a structural intervention. Are there people with sufficient knowledge and skills to initiate and operate in this new structure? Are there sufficient resources (money, time, equipment) to initiate and sustain the intervention? If knowledge, skills, or resources are inadequate, process or attitudinal interventions should be considered.

A process-oriented intervention is appropriate when there is at least a small group of people who are committed to the intervention and the consultation goals. The intervention can help prepare these people to address the convening problem or need effectively, and to convince others of the importance of the problem and of the value inherent in a particular course of action. Process interventions help to build human rather than physical resources; therefore, the financial demands often are not as great as in the case of structural interventions. On the other hand, skills training takes time and trainer expertise. Process interventions should not be initiated if they are limited to a weekend workshop conducted by an internal or visiting consultant who "once was a participant in a workshop like this."

Attitudinal interventions are deceptive and require either a minimum amount of time and money, if done at a rather superficial level, or a significant amount of time and money, if done in depth. Attitudinal interventions which have broad but superficial impact are often appropriate when a client is trying to gain acceptance for an idea that has little support. A consultant can organize and conduct a low cost "consciousness raising" conference or workshop that will lead to more interventions in greater depth if successful.

Structural interventions are more likely to change or stabilize processes or attitudes. Hence, one might think that an intervention is best initiated at the structural level. Interventions at this level, however, are difficult to start, so a client or consultant is probably best advised to begin at the level of attitude or process when first planning for an intervention.

An intervention reveals much about the institution in which the intervention has taken place. Much also can be learned from an intervention about the use of a particular strategy and about the readiness of the client system for a particular type of intervention (structure, process, attitude). It is incumbent upon the client and consultant to evaluate each intervention thoughtfully so that this information is available to them.

STAGE 9: Evaluation of the Intervention

The evaluation of a consultative intervention ideally will serve two functions: (a) *formative* improvement of the intervention while it is still being performed, and (b) *summative* assessment of the overall impact of the intervention which will be used for subsequent planning and decision-making. An effective evaluation of an intervention will contribute both to the client's knowledge of his own institution and to the consultant's awareness of his own strengths and weaknesses.

As a tool for the formative improvement of a continuing program, the evaluation should be conducted continuously during the intervention. Frequently, this will mean nothing more than periodic interruptions during the workshop or conference to inquire about participant satisfaction with the design and implementation of the event. At other times, a more formal evaluation (see *Documents 3-2 and 3-3*) might be provided at a natural break. If a consultant is providing a series of workshops or is meeting with a number of different constituencies in a college or university to sell them on a specific proposal, it is often valuable to pause occasionally and determine if the strategies being employed need some revision. This mid-project evaluation usually is conducted by the consultant, client, and several members of the audience. Even a written report is amenable to formative evaluation, if it can be circulated first in draft form to the client, the audience, or a "pilot" group of readers for reaction and revision.

As a vehicle for summative assessment of an intervention's impact and worth, an evaluation can take on many different forms. A large-scale evaluation may be commissioned if the intervention has been broad-based and long-term. Often, this evaluation will be conducted by another consultant or someone specializing in program evaluation. If an outside evaluator is being used, he should be brought into the consultative process at an early point (certainly by Stage 6 or 7) so that he might understand fully the purposes of the evaluation and develop a friendly working relationship with the consultant. Rivalry between a consultant and evaluator can be disastrous.

A summative evaluation should answer the following questions:

1. Has the intervention successfully achieved the "enabling" goal identified in Stage 7?
2. What forces operating in or on the client system have facilitated or blocked achievement of the enabling goal?
3. What next steps, if any, should be taken to achieve the enabling goal or to move the client system toward the achievement of other (outcome or enabling) goals?

A summative evaluation which focuses only on the first of these questions will not be particularly helpful to the client or consultant in recontracting, in planning for future interventions, or in planning for the consultant's departure from the client system.

In the implementation of either a formative or summative evaluation, a client, consultant, or external evaluator should use all of the data and information sources that were generated and made available during the second stage of consultation (see Chapter 2). During the evaluation, additional interviews might be conducted, the intervention might be observed, a questionnaire might be distributed, critical incidents might be identified, and so forth. The evaluation should build on the existing information base, with the existing information being considered "pre-intervention" data that can be compared with "post-intervention" data to assess the nature and amount of impact that can be assigned to the intervention.

Many consultants and clients assume that the primary beneficiary of an evaluation is the client, for an evaluation is the way in which a consultant can be held accountable for his work. Thus, many consultants do not push for an evaluation, nor do they help to plan it. They assume that an evaluation is the client's responsibility and should be initiated by the client.

An evaluation need not serve just the needs of the client. A consultant's own needs can be expressed legitimately at this point in the consultation. Although these needs must be deferred during most of the previous stages of consultation, they become appropriate at this stage. The evaluation should be designed so that the consultant gains a maximum amount of insight about his own work with this client system. The client owes this to the consultant, for supposedly the client is already the beneficiary of insights gained by the consultant from evaluations of previous consultations. In the fifth chapter of this handbook, additional consideration is given to the ways in which a consultation should be evaluated. One of the documents that appears at the end of the fifth chapter, *Document 5-3*, can be used for this purpose.

STAGE 10: Exit

Any consultation should be viewed as a temporary arrangement between a client and consultant that continues to exist only as long as the consultant is doing for the client system that which this system cannot do for itself. As mentioned in Chapter 1, a consultant should be working himself out of the job from the first day he meets the client. During the final stage in the consulting process, the independence of the client should be kept at the forefront when decisions are made concerning the continuation of the consultation.

Strong arguments can be made for continuing a consultation that has been successful already. The consultant will have credibility. His intentions and competence will already have the client's and audience's trust. He also will have intimate knowledge of the client system and of the ways in which this system can best be served by a consultant. Yet, precisely because of his increased value to the client system, the consultant and client must be cautious about extending the consultation. If the consultant becomes indispensible to the client system, he will not be working in the best interests of the client, for the client will have become dependent on the consultant's knowledge and skills, rather than building knowledge and skills within his own system.

Many consultants prepare for exit by training people within the client system to take over the consultant role. A consultant might invite one or more members of the client system (or the client himself) to serve as an apprentice or assistant in conducting an intervention or in collecting and analyzing data. If the client is involved in all stages of the consultation, he already has gained a great deal of knowledge about the consulting process and is ready to incorporate many of the consultative practices into the daily life of the institution. Information-oriented activities, for instance, might be incorporated into the continuing institutional research initiatives of the college or university.

A decision regarding the continuation of a successful consultation is obviously quite difficult. In some instances, the consultation should be continued, and the client and consultant should return to one of the two previous contracting stages (2 or 6). The intervention may have opened up a new set of questions that can be answered only by returning to the information-oriented stages. In other instances, the consultant and client will begin planning for another intervention.

If a decision is made to conclude or terminate the consultation, the client and consultant should take time to reflect on what they have learned from the consultation—both personally and professionally. If the consultation has been successful, the client and consultant also should take time to celebrate their mutual achievement. Neither party can be successful without the good intentions and competency of the other. A word of gratitude from the college or university community also should be expressed to the client and consultant, for they both will have contributed to the continuing renewal and prosperity of this community.

References

[1] Frederick R. Ignatovich, "Morphological Analysis," in S. P. Hencley and J. P. Yates, eds., *Futurism in Education* (Berkeley, California: McCutchan Publishing Company, 1974), pp. 211-34.

[2] Robert R. Blake and Jane Srygley Mouton, *The Managerial Grid* (Houston: Gulf Publishing Company, 1964), pp. 282-3.

[3] Wendell L. French and Cecil H. Bell, *Organization Development* (Englewood Cliffs, New Jersey: Prentice-Hall, 1973), pp. 102-4.

[4] French and Bell, pp. 106-7.

[5] Richard A. Schmuck and Matthew B. Miles, *Organization Development in Schools* (Palo Alto, California: National Press Books, 1971), p. 8.

[6] Goodwin Watson and David Johnson, *Social Psychology: Issues and Insights* (Philadelphia: J. B. Lippincott, 1972), Second Edition, pp. 196-221.

Document 3-1

Title: Goal Clarification*

Source: Jack Harrison, Center for a Human Future, Syracuse, New York

General Description:

This brief list of questions about goals is one element of a more comprehensive futures invention exercise. Taken as an isolated exercise, "Goal Clarification" can be useful to a consultant as he works with the client to define goals for an intervention. The fourth question closely relates to the concept of an "enabling" goal that is described in Chapter 3. The final question (#14) may need a little explanation. An "inventive" goal helps to create new conditions in the future. A "preventive" goal helps to block or avoid the existence of a specific condition. An "adaptive" goal enables one to live more effectively with a probable condition in the future.

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Goal Clarification

The following questions, or similar ones, might be asked to help one another become more clear about goals. These questions should clarify what is meant by the use of certain words or phrases. They ***should not*** put the person on the defensive, as a challenge or a critical statement might. We are not interested in judging the worth or the feasibility of another's idea. All we want to do is help that person become very clear about meanings, assumptions, and values embedded in his or her statement.

1. What exactly do you mean by the word (or phrase) ________?
2. How strongly do you feel about this goal? Is it something you would commit time and energy to in developing solutions? Or are you exploring its possibilities at this point?
3. If your goal were to occur, would it complete a plan?
4. If your goal were to occur, would it be a means or a step toward another goal farther in the future?
5. What institutions have you assumed will be the same as they are today?
6. What values—basic or emerging—underly your intentional goal: values about the nature of human beings, about desirable societal characteristics, about lifestyles, about learning?
7. Is your goal stated as a general state of affairs?
8. Is your goal stated as a specific state of affairs?
9. Is your goal technical? Does it require a certain technology?
10. Is your goal social? Does it require mainly social organization or application?
11. Is your goal technical *and* social?
12. Is your goal an extrapolation of the past or present into the future, or is it a new thing?
13. Is your goal the result of faddism?
14. Is your goal inventive, preventive, or adaptive?

Document 3-2

Title: How Am I Doing*

Source: A modification and expansion by William H. Bergquist on a form developed by Jack Lindquist, Memphis State University, Memphis, Tennessee

General Description:

"How Am I Doing" is a set of two questionnaires to be used by a consultant to appraise his performance. It is particularly valuable when completed prior to recontracting (Stage 6) and after an intervention (Stage 9). The two questionnaires should be filled out independently, then compared by the consultant and the client.

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*Used by permission of Jack Lindquist, Institute for Academic Improvement, Memphis State University, Memphis, Tennessee.

How Am I Doing?

CLIENT FORM

Instructions:

For each of the statements listed below, circle the most appropriate number located to the left of the statement. Be sure that both you and the person filling out the consultant form are clear about who the "consultant" and "client" are and what particular activities are being assessed. After you and the consultant have completed these forms independently, compare ratings and discuss the implications of any discrepancies and commonly acknowledged low and high ratings for future work together.

1. Initial Credibility

Very little or none — Very much

1 2 3 4 5 The consultant comes from an institution or program that I respect.
1 2 3 4 5 The consultant's background includes formal training, and credentials in the subject at hand.
1 2 3 4 5 The consultant has strong practical experience in the subject at hand.
1 2 3 4 5 The consultant informed me by his/her manner, dress, and language that he/she is "one of us."
1 2 3 4 5 Credible leaders have secured the consultant's services.

2. Expertise in the Subject

Very little or none — Very much

1 2 3 4 5 The consultant "knows his/her stuff" about particular innovations relevant to my concerns.
1 2 3 4 5 The consultant is well grounded in appropriate research and theory.
1 2 3 4 5 The consultant knows how to do what I am interested in having done.

3. Ability to Present Information

Very little or none — Very much

1 2 3 4 5 The consultant is well organized in presenting information and in helping me organize information.
1 2 3 4 5 The consultant presents information at a level of complexity that I can understand.
1 2 3 4 5 The consultant presents information which is directly relevant to my concerns.
1 2 3 4 5 The consultant presents only the amount of information that can be handled in the time provided.
1 2 3 4 5 The consultant offers examples, metaphors, varying pace and media, humor, and other elements to make his/her presentation vivid and interesting.

1 2 3 4 5 The consultant makes clear the advantages of certain innovations over others for accomplishing particular objectives in particular settings.

1 2 3 4 5 The consultant makes the innovation as easy to understand and do as possible.

1 2 3 4 5 The consultant stresses which parts of the innovation must be adopted as is and which parts either are non-essential or can be adjusted to fit local circumstances. The consultant also shows a step-by-step sequence of adoption if the whole innovation need not be adopted all at once to work.

1 2 3 4 5 The consultant actually shows me an innovation at work—by film, site visit, demonstration, simulation, or other means.

1 2 3 4 5 The consultant gives me an opportunity to try out the innovation to find out if it works for me—by role playing, internship, assistance to a pilot effort, or other means.

1 2 3 4 5 The consultant presents the innovation in ways which make it as compatible as possible with my values, norms, structures, styles, and skills.

4. Diagnosis

Very little Very
or none much

1 2 3 4 5 The consultant can describe the nature of the college's practices, who they serve, and their outcomes—insofar as I know them.

1 2 3 4 5 The consultant can describe my objectives and the objectives of others in the college.

1 2 3 4 5 The consultant can describe the concerns and problems that I and others in the college face.

1 2 3 4 5 The consultant can describe the governance process by which changes in college practices get approved.

1 2 3 4 5 The consultant knows who is particularly influential in the college regarding changes such as those we are discussing.

1 2 3 4 5 The consultant knows which local opinion leaders and formal authorities are likely to support or oppose the changes I am considering.

1 2 3 4 5 The consultant knows which local and external resources—expertise, money, facilities, commitment, professional rewards, time, etc.—are available to support the changes being considered.

1 2 3 4 5 The consultant knows how knowledgeable, skillful, credible, and influential I am regarding the accomplishment of the changes being considered.

1 2 3 4 5 The consultant knows the major sources of resistance to the changes I am considering.

5. Facilitating Adaptation

Very little Very
or none much

1 2 3 4 5 The consultant has helped me and others agree among ourselves regarding current practices and outcomes.

1 2 3 4 5 The consultant has helped me clarify my own concerns and objectives.

1 2 3 4 5 The consultant has helped me study governance processes and influence systems.

1 2 3 4 5 The consultant has helped me assess the resources that are available to help me.

1 2 3 4 5 The consultant has helped me assess my own knowledge, skills, and degree of commitment.

1 2 3 4 5 The consultant has helped me assess major sources of resistance to the changes being considered.

1 2 3 4 5 The consultant has presented pertinent information—theory and research, innovative practices, resource persons, tips on implementation—to me.

1 2 3 4 5 The consultant has helped me adapt innovative models to my own needs, structures, and styles.

1 2 3 4 5 The consultant has helped me develop an action plan to guide next steps.

1 2 3 4 5 The consultant has maintained contact with me to help keep momentum going, to troubleshoot problems, and to provide additional information.

HOW AM I DOING?

Consultant Form

Instructions:

For each of the statements listed below, circle the most appropriate number located to the left of the statement. Be sure that both you and the person filling out the client form are clear about who the "consultant" and "client" are and what particular activities are being assessed. After you and the client have completed these forms independently, compare ratings and discuss the implications of any discrepancies and commonly acknowledged low and high ratings for future work together.

1. Initial Credibility

Very little or none — Very much

1 2 3 4 5 I informed the client that I come from an institution or program that he/she respects.

1 2 3 4 5 I informed the client that my background gives me formal training and credentials in the subject at hand.

1 2 3 4 5 I informed the client that my background gives me practical experience in the subject at hand.

1 2 3 4 5 I informed the client by my manner, dress, and language that I am "one of you."

1 2 3 4 5 I informed the client that credible leaders have secured my services.

2. Expertise in the Subject

Very little or none — Very much

1 2 3 4 5 I have given the client evidence that I "know my stuff" about particular innovations relevant to his/her concerns.

1 2 3 4 5 I have given the client evidence that I am well grounded in appropriate research and theory.

1 2 3 4 5 I have given the client evidence that I know how to do what he/she is interested in having done.

3. Ability to Present Information

Very little or none — Very much

1 2 3 4 5 I am well organized in presenting information and in helping the client organize information.

1 2 3 4 5 I present information at a level of complexity that the client can understand.

1 2 3 4 5 I present information which is directly relevant to my client's concerns.

1 2 3 4 5 I present only the amount of information that can be handled in the time provided.

1 2 3 4 5 I offer examples, metaphors, varying pace and media, humor, and other elements to make my presentation vivid and interesting.

1 2 3 4 5 I make clear the advantages of certain innovations over others for accomplishing the particular objectives in particular settings.

1 2 3 4 5 I make the innovation as easy to understand and do as possible.

1 2 3 4 5 I stress which parts of the innovation must be adopted as is and which parts either are non-essential or can be adjusted to fit local circumstances. I also show a step-by-step sequence of adoption if the whole innovation need not be adopted all at once to work.

1 2 3 4 5 I actually show the client an innovation at work—by film, site visit, demonstration, simulation, or other means.

1 2 3 4 5 I give the client an opportunity to try out the innovation to find out if it works for him/her—by role playing, internship, assistance to a pilot effort, or other means.

1 2 3 4 5 I present the innovation in ways which make it as compatible as possible with the client's values, norms, structures, styles, and skills.

4. Diagnosis

Very little or none   Very much

1 2 3 4 5 I can describe the nature of the college's practices, who they serve, and their outcomes—insofar as the client knows them.

1 2 3 4 5 I can describe the client's objectives and the objectives of others in the college.

1 2 3 4 5 I can describe the concerns and problems the client and others in the college face.

1 2 3 4 5 I can describe the governance process by which changes in college practices get approved.

1 2 3 4 5 I know who is particularly influential in the college regarding changes such as those the client is discussing.

1 2 3 4 5 I know which local opinion leaders and formal authorities are likely to support or oppose the changes the client is considering.

1 2 3 4 5 I know which local and external resources—expertise, money, facilities, commitment, professional rewards, time, etc.—are available to support the changes being considered.

1 2 3 4 5 I know how knowledgeable, skillful, credible, and influential the client is regarding the accomplishment of the changes being considered.

1 2 3 4 5 I know the major sources of resistance to the changes the client is considering.

5. Facilitating Adaptation

Very little or none   Very much

1 2 3 4 5 I have helped the client and others agree among themselves regarding current practices and outcomes.

1 2 3 4 5 I have helped the client clarify his/her own concerns and objectives.

1 2 3 4 5 I have helped the client study governance processes and influence systems.

1 2 3 4 5 I have helped the client assess the resources that are available to help him/her.

1 2 3 4 5 I have helped the client assess his/her own knowledge, skills, and degree of commitment.

1 2 3 4 5 I have helped the client assess major sources of resistance to the changes being considered.

1 2 3 4 5 I have presented pertinent information—theory and research, innovative practices, resource persons, tips on implementation—to the client.

Document 3-3

Title: Trainer Evaluation Form

Source: Unknown (modified by William H. Bergquist and Steven R. Phillips)

General Description:

This instrument focuses specifically on the performance of an individual trainer-consultant, rather than on the overall accomplishments of a workshop. It was designed originally for use with new workshop trainers, but has been found to be of value to consultants at all levels of experience. The instrument may be given out several times during a workshop. The training staff should discuss the results of this instrument among themselves, with the client or, preferably, with the participants themselves. An open session is particularly profitable if the training staff does not find this procedure too threatening or disruptive.

Trainer Evaluation Form

STAFF MEMBER ____

RATER ____

WORKSHOP ______________________________ DATE ________________

DIRECTIONS: Please check the appropriate box (using the following coding system as a guide) to indicate the rating you feel best describes this staff member's skills and abilities in the area specified.

A rating of:	indicates that the staff member:
1	needs to improve or change significantly in this area
2	needs some improvement in this area
3	is doing an adequate job in this area
4	is doing a good job in this area
5	is doing an exceptional job in this area and should use this as a primary resource for future work

Please check each of the rating items. If appropriate, include a sentence or two of explanation in the space below each item. These comments can be valuable in understanding your ratings.

A. Sensitivity and insight shown to individual and group processes (check each separately)
Explanation and amplification of rating:

	1	2	3	4	5
Indiv.	☐	☐	☐	☐	☐
Group	☐	☐	☐	☐	☐

B. Clarity and appropriate timing of specific training activities
Explanation or amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

C. Responsible professional behavior with participants in and out of workshop sessions
Explanation or amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

D. Ability to relate the workshop experience to back home realities
Explanation or amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

E. Ability to diagnose and understand his/her own needs so as to avoid using participants inappropriately
Explanation or amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

F. Creativity and skill in drawing up and implementing training designs
Explanation and amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

G. Ability to convey warmth and interest and to create rapport with individuals and groups
Explanation and amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

H. Flexibility and range of training activities
Explanation and amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

I. Ability to work effectively with conflict—not over- or under-reacting
Explanation and amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

J. Ability to judge the need for greater trainer activity and capacity to respond appropriately
Explanation or amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

K. Effectiveness in working with participants and other members of the workshop staff in the design and conduct of training sessions
Explanation or amplification of rating:

1	2	3	4	5
☐	☐	☐	☐	☐

L. Please state below any comments you would like to make about the staff member's unique strengths and limitations as a trainer.

CHAPTER 4

Three Models of Consultation

The Underlying Assumptions of Consultation

In providing assistance to a client system, a consultant carries with him a set of often untested assumptions about the way in which the client might be served best, about the nature of the client-consultant relationship, about the nature and extent of his own investment in the outcomes of the consultation, and about the ways in which the consultation should be perceived and judged. Thomas Kuhn[1] speaks of scientific paradigms that dictate the nature of questions that are asked within a specific discipline or school of thought, as well as the nature of solutions that are generated and tested. Paradigms tend to be self-validating in that the methods and criteria used for evaluation of the paradigm are themselves part of and fully compatible with this paradigm. As a rule, the paradigm is reformed significantly only by someone who can stand outside the paradigm and declare that "the king (paradigm) is indeed naked!" In many ways, the underlying assumptions of consultants act like scientific paradigms.

As one who stands outside of systems, the consultant often can be of value in helping a client discover, and if necessary, abandon his own paradigm or assumptions about the nature of the problems that are being confronted and solutions that are available. Consultants themselves, however, operate within certain paradigms that can limit their own perceptions of these problems and solutions.

No one can, or should abandon these paradigms, for they serve as organizing principles for one's work. Nevertheless, one should be aware of the nature and impact of the paradigm prevalent in his own work and recognize the value of alternative paradigms of consultation. In this chapter we will examine first a consulting taxonomy that incorporates five different paradigms or models. This taxonomy, which was developed by Robert Blake and Jane Mouton,[2] will be followed by another taxonomy which we have formulated to account for three different assumptions about change in the consulting process.

Blake and Mouton's Taxonomy of Consultation

In their recent book, *Consultation*, Blake and Mouton[3] have attempted to incorporate all known modes of consultation into a three-dimensional "consultcube." One of these three dimensions concerns the focal issue of the consultation: power/authority, morale/cohesion, norms/standards, or goals/objectives. The second dimension concerns the unit of change: individual, group, intergroup, organization, or larger social system.

The third dimension, around which Blake and Mouton organize most of their book, concerns the kind of intervention that is made by the consultant: acceptant, catalytic, confrontation, prescription, or theory and principles. Following is a brief description of each type:

> *Acceptant.* The intention is to give the client a sense of personal security so that when working with the consultant he or she will feel free to express personal thoughts without fear of adverse judgments or rejection. The client may thus be helped to "sort out" emotions in a self-reliant manner and thereby get a more objective view of the situation.

> *Catalytic.* Catalytic intervention assists the client in collecting data and information to reinterpret his or her perceptions as to how things are. In this way, the client may arrive at a better awareness of the problem and how to handle it.
>
> *Confrontation.* This challenges a client to examine how the present foundations of thinking—usually value-laden assumptions—may be coloring and distorting the way situations are viewed; that is, the client may screen off one or more alternative options which, if he or she were aware of them, could lead to the selection of more effective actions.
>
> *Prescription.* The consultant tells the client what to do to rectify a given situation or does it for him. The consultant takes responsibility for developing the evidence for the diagnosis and formulates the solution as a recommendation to be followed.
>
> *Theories and principles.* By offering theories pertinent to the client's situation, the consultant helps the client internalize systematic and empirically tested ways of understanding. When learned so well as to be personally useful, these principles permit the client to view his or her situation in a more analytic, cause-and-effect fashion than had hitherto been possible. Thus the client becomes able to diagnose and plan how to deal with present and future situations in more valid ways. From the outset, he or she can specify how to rectify the immediate situation and further improve matters by choosing from discerned alternatives.[4]

Though Blake and Mouton use the term "intervention" to describe these five models, they mean something much broader than is meant by the term as it is used in Chapter 3 of this handbook. Each of the five models being described by Blake and Mouton influences or determines not only the way in which an individual actively intervenes in the client system, but also the way in which he uses the nine other stages of consultation (see Chapters 2 and 3). The sequencing and attention given to each stage is influenced by the choice of intervention. Hence, each model described by Blake and Mouton might be properly defined as a consultative paradigm or model.

The *acceptant* model tends to emphasize problems associated with the emotional life of the client, and solutions that involve the consultant as an active and sympathetic listener. "Talking cures" are assumed to be effective, as are "cathartic" techniques that release disruptive and impeding emotional tension. Blake and Mouton summarize the primary task of the acceptant consultant as follows:

> An acceptant consultant helps the client to think through his or her situation in a manner that relieves the blocking aspects and ensures that the client retains a sense of personal "ownership" in resolving problems. This is accomplished in two ways. (1) The consultant gives passive support by attentive listening and nonevaluative responses. He or she avoids a partisan stance and suspends all judgments regarding what the client is saying or doing. (2) The consultant may intervene more actively by creating conditions under which the client experiences emotional release, but he or she does so in a nonprescriptive way. Again, this kind of intervention avoids a partisan orientation and provides the client a sense of support by implying that any action is acceptable regardless of its content.[5]

Two primary limitations are inherent in this consulting paradigm. First, conservatism is inherent in the model. A client may accept rather than seek to change the problems that are associated with emotional tensions if these tensions are lessened. Second, the personal orientation of this approach to consultation may be detrimental to the client. He may learn how to express his feelings in a group or organization that does not value this expression. Other consulting paradigms that emphasize change in group or organizational norms and structures may have to be used in association with the acceptant mode.

Catalytic interventions, the second of Blake and Mouton's five consulting paradigms, represents an emphasis on the information-oriented stages of consultation (see Chapter 2). The "intervention" of the catalytic consultant tends to emphasize the stages of information collection, analysis, and feedback. The ground rules for a catalytic consultant reveal the underlying assumptions that are made by this person. The catalytic consultant:

1. Starts an intervention with informal conversation to create an easy-going nonauthoritarian atmosphere, an informal give-and-take situation. "How are things?"

2. Invites the client to describe his or her situation, and accepts the needs described by the client as the only legitimate frame of reference to work within. As the consultant listens, he or she tries to formulate suggestions for gathering new information that may illuminate some aspect of what the client seems interested in pursuing.
3. Suggests procedures that might be followed to gather more information. These may range from, "Why not just freewheel about your situation. No need to outline, just tell it as it comes out," to using action-research or survey-research methodologies.
4. Gives encouragement whenever possible by supporting the client's efforts at defining or redefining the problem at hand.
5. Avoids giving specific suggestions. Even procedures for data gathering are offered in a very tentative way. The consultant seeks to stay within the limits he or she thinks the client would *readily accept*, taking clues about client needs from what the client reveals about his or her thinking. The consultant may know what the client "should" do, or may know the client is not "facing up," but to impose his or her will on the situation or to challenge the client's self-deception would possibly promote resistance, which in turn might shift responsibility for solving the problem from client to consultant. To ensure that the client feels and knows that he or she retains control over the situation the consultant does not overstep these bounds. "How about this possibility?", "Do you think this would work?" are as far as the consultant is willing to go.
6. Encourages the client to make his or her own decisions. The consultant is graceful about it, but will *not* make them for the client, tip the balance one way or another, or confront the client whose definition of the situation is what is blocking progress. Consequently, the client feels that whatever action comes about was of his or her own choosing.[6]

Some of the strategies that are used to bring about a successful catalytic consultation include assessing needs, linking resources to needs, offering procedural suggestions, providing process consultation, and conducting survey-feedback or action-research projects. The limitations of this paradigm include the inability or unwillingness of some people or groups to translate data into action, reliance on the consultant as a liberator of institutional information, and the tendency for consultants to respond to the felt needs of the client without necessarily dealing with the "real" problems of the institution.

A third consulting paradigm is *confrontation*. The underlying working assumptions in this paradigm are:

> To successfully break out of self-defeating cycles, the individual must first explicitly identify and understand the values he or she presently embraces. Confrontation is one way of helping a client explore the consequences of acting in accordance with these values, a first step toward implementing change. A consultant who operates in a confrontational mode pinpoints for the client inappropriate, invalid, or unjustified values and gets him or her to face up to a *reality* in the values domain which was previously unrecognized, ignored, disregarded, or rejected. The confrontational consultant seeks to create a discrepancy between values generally considered valid, either in the light of behavioral-science findings or in terms of a sound philosophy of life, and the self-defeating values and assumptions actually operating within the situation.[7]

Confrontation is particularly effective in breaking through the defenses of a client or other person receiving the consultant's assistance, or in assisting a group or organization that is blocked by an inability or unwillingness to face up to differences in values among its members or to the implications of a course of action which clearly violates the basic values of the group or organization. A confrontation paradigm is dependent on the ability of the consultant to avoid taking control of the organization or to impose his own value system—a difficult task that often limits the effectiveness of this model of consultation.

A *prescriptive* paradigm probably applies to more consultants than any of the other paradigms. A prescriptive consultant begins with the assumption that a client "lacks the necessary knowledge or objectivity to make a sound self-diagnosis and design a plan of corrective action."[8] In response to this condition, the prescriptive consultant:

> . . . listens to the client's remarks and while he or she does not reject them, he or she does not necessarily take them at face value; in other words, they serve as a useful point of departure for the consultant in initiating diagnostic activities. The consultant then interrogates, observes, interviews, and investigates. After satisfying himself or herself that the real problem has been identified, the consultant says something like, "Here is your problem" and "This is the best thing for you to do . . ."
>
> Another common feature of the prescriptive mode of consultation, particularly as it relates to group, intergroup, organization, or larger-social-system applications, is that answers are directed to the top of the system so that the system's power/authority-obedience structure can be used to implement the changes called for. Under these circumstances, although implementation is likely to occur, resistances may be generated, ones that eventually cause the changes to become distorted, watered down, or merely ignored.[9]

This paradigm is particularly appropriate when the client system is immature or in severe crisis, and in need of some immediate, short-term remedy. The limitations of this paradigm are major. The consultant not only must have the right solution for the right problem, he also must be able to transfer both the solution and his problem-solving abilities to the client system, so that this system will not depend on him for implementation of the solution or for future solution of its pressing problems.

The final paradigm to be described by Blake and Mouton is *theory-principle*—the paradigm which is pervasive in Blake and Mouton's own work as consultants. Proponents of this paradigm believe that they can be used by clients to gain greater appreciation for the consequences of a specific course of action:

> Theory-based interventions engage a consultant in those activities necessary to assist a client in acquiring a theory basis for governing individual action. The client is freed from blind reliance on common sense and conventional wisdom and is enabled to see situations more objectively by avoiding the distortions that subjective attitudes, beliefs, and untested convictions can produce. Plans and planning can be helpful, but unfortunately they frequently are premised on pragmatic concerns only, with insufficient regard for theory. When tested theory is relied upon, actions can be taken with the expectation that the anticipated consequences will, in fact, occur.[10]

The primary strength of this approach appears to be reliance on the client's own development and acquisition of useful concepts, and the internalization by the client of solutions that he has helped to generate. This paradigm is limited by the assumption that theory—even if geared toward real problems—will translate into action, and the assumption that one can change complex systems by changing individuals.

These five paradigms seem to differ not only in terms of the strategies that are used to assist one's client, but also in the basic assumption which a consultant is making about change. Though Blake and Mouton seem to emphasize the strategic differences, one can penetrate deeper into these paradigms by discovering differences among: (1) those consultants who are advocates of a specific change goal in the client system, (2) those consultants who advocate no change goals, but begin with the assumption that the client system needs to change, and (3) those consultants who neither advocate a specific change goal, nor begin with the assumption that change in the client system is required. Each of these three paradigms or models of consultation will be described in more detail, and related to the five paradigms proposed by Blake and Mouton.

MODEL ONE CONSULTATION: The Advocate

This first model of consultation is used to advocate a specific change goal. The consultant is brought in by the client to help the client promote, organize, or implement a specific program or cause in which both the client and consultant believe.The Model One consultant tends to serve in the role of expert or judge as well as advocate. Less frequently, the Model One consultant will serve as trainer or negotiator (see Chapter 1 for a discussion of these roles).

As the advocate for a specific change, the Model One consultant usually must have access to some form of power to ensure that the change will occur. Typically, he will have expert power, as the "prophet from another land" or as an internal consultant with credentials and prestige. Alternatively, the Model One consultant will have position power. As an internal advocate for a specific change, he will attempt to move into or closely affiliate with a person who is in a position of authority in the institution. A Dean of Instruction, for instance, might serve as a "consultant" to a faculty curriculum committee in his college. He may not wish to control the outcomes of this committee directly, but he will have influence over the committee because of the position he holds.

A third form of power frequently is employed by experienced Model One consultants. This is the power associated with "charisma" or good showmanship. The effective Model One consultant will be enthusiastic and persuasive in his presentations. Most of the nationally known consultants in American higher education combine expertise with the capacity to hold an audience and to interest them in or convince them of an idea.

If a Model One consultant does not have expertise, position, or charismatic power, he probably should look to one of the other two paradigms of consultation. Without his own power, a consultant must rely on the power of the client with whom he is working. This, in turn, requires that the client feel some ownership for the ideas that have emerged from the consultation—necessitating the use of Model Two or Three consultation.

The Model One paradigm expresses itself in at least six ways: (1) prescription, (2) promotion, (3) instruction, (4) behavior modification, (5) evaluation, and (6) linkage. When prescription is used for Model One consultation, a consultant usually engages in all or most of the 10 stages described in Chapters 2 and 3. He usually collects, analyzes, and feeds back data—Harry Levinson's "organizational diagnosis."[11] He then provides specific recommendations concerning alternative programs, procedures, personnel, and so forth. The recommendations themselves are the intervention.

When a recommendation is documented substantially (expert power), it often will carry the day, although problems frequently are encountered in getting people to follow up on the recommendations. As one exasperated corporate consultant has noted:

> Even when a sick or dying company obtains accurate advice on how to save itself, it may be unwilling to accept the advice—just as the patient threatened by a possible heart attack refuses to quit smoking or lose weight.[12]

The *promotional* style of Model One consultation specifically addresses the problem of getting the client to accept and implement a suggestion. The emphasis in this style is on actively selling the advice being given. The consultant uses persuasion (charismatic power) and even a touch of "snake oil" salesmanship to get over the idea. He may call on the endorsement of someone who is well-known in the field or he may describe a successful program at a comparable (and often competitive) college or university.

To insure the implementation of an idea, the promotional consultant may place the client or other significant campus leader in a position of making a public commitment to the project, or he may begin publicizing the project elsewhere in the higher education community, thereby increasing the informal pressure on the client or campus leader to follow through on the project. At other times, he may suggest that external funds may be forthcoming if the college can enact the project on its own initially, or that in initiating this project, the college will gain a reputation that will draw students or alumni dollars.

A third way of exhibiting the Model One consultation is through *instruction*, or, as Blake and Mouton would describe it, through effective theory-principle intervention. To be effective in the presentation of theory and principles, one must be able to help the client "internalize" the theory or principle so that "it becomes a personally useful source of guidance rather than an abstract academic theory."[13] This internalization is made possible by first collecting information about the client (proceeding through the first five stages of the consultative process; see Chapter 2). The consultant then gears his presentation to the needs and conceptual base of the client.

Behavior modification is occasionally appropriate as a Model One style of consultation, and differs from instruction in that the consultant does not tell the client what he should do, but rather manipulates and controls the reward system so that the client will perform as desired. With the client's permission, behavior modification is often useful in eliminating annoying mannerisms or debilitating habits. A related tool, progressive desensitization, is used to reduce a client's level of anxiety about a specific task or event.

A fifth way in which an advocacy model can be used is through *evaluation*. In many instances, the only way in which a client system will give a Model One consultant enough time and resources to get acquainted with the system is to bring the consultant in as an evaluator. As a "consultant-evaluator,"[14] one can collect, analyze, and feed back information about a college or university before providing a series of recommendations regarding the program or procedure being evaluated.

The sixth style of Model One consultation, *linkage*, has been given greater attention in recent years. The consultant can link the client with other people and resources that are appropriate to the needs and styles of the client. To be an effective linkage agent, the consultant must know the client's strengths and weaknesses. This requires, therefore, the information-oriented stages of consultation that are described in Chapter 2. As in the case of instruction and evaluation, the linkage style of Model One consultation requires that the consultant become fully acquainted with the client system before advocating a specific change. Even the prescriber, promoter, and behavior modifier must be knowledgeable about their client if they are to do an effective job.

MODEL TWO CONSULTATION: The Change Agent

Having been inspired by the extraordinary insights and practices of Kurt Lewin during the 1930s and 1940s, many behavioral scientists have become convinced that an effective consultant need not—or should not—promote a specific change, but instead should assist the client in accomplishing the changes that the client identifies as being desirable and of value.

The term "change agent" brings to mind an analogy to the travel agent. When one asks a travel agent to plan a trip, the assumption is made that the agent will not try to convince his client that he should travel to a specific location, but rather will help the client get to the place he has identified in as quick and inexpensive a manner as possible. A customer wishing to travel to Syracuse would be very surprised if a travel agent tried to convince him to go to Boston instead. Similarly, a change agent is supposed to help a client obtain his goal as quickly and inexpensively as possible; he has not been hired to advocate a specific change.

A second analogy is also instructive. The Model One consultant acts like a tugboat that is using its own energy to move a ship into or out of a berth. All of the power needed to bring about the change (safe movement of the ship) is found initially in the consultant (tugboat) and is transferred to the client (ship) during the change process. Conversely, the Model Two consultant serves as a harbor captain who temporarily takes over control of the ship to steer it into or out of the berth. The power or energy resides in the client system. The consultant or harbor captain is given temporary control over the system to help move the system toward a goal that is identified by the client.

The roles played by the Model Two consultant are as varied as those of the Model One consultant—negotiator, trainer, and facilitator, and, less frequently, diagnostician, expert, and judge (see Chapter 1 for a description of these roles). Whereas the Model One consultant must have access to power, the Model Two consultant must have interpersonal skills and be knowledgeable about change principles and strategies. The effective change agent will know a client system intimately and will be able to identify the points of leverage for change in this system, as well as the resources that can be employed in sustaining change once it has been initiated. One not only must plan for a specific change, he also must "unfreeze" the client system, so that it will be open to change, and "refreeze" the system so that it will maintain the change once it has been accomplished.

Most change agents make use of a common set of strategies in the initiation and maintenance of change. The nine intervention strategies of Blake and Mouton (listed in Chapter 3) are effective means of increasing the client system's interest in change, whereas the two taxonomies of French and Bell and Schmuck and Miles (also summarized in Chapter 3), are used by change agents to bring about and solidify the change, once interest has been generated.

MODEL THREE CONSULTATION: The Client-Centered Helper

Some consultants who believe in the central and independent role of the client in the consultative process suggest that both Model One and Model Two consultation limit the freedom of the client, make the client dependent on the consultant, and place the consultant—rather than the client—at the center of the consultation. Both Model One and Model Two consultants begin with the assumption that a change is required of the client. Model Three consultants do not begin with this assumption, believing that such an assumption biases the subsequent perceptions of both the consultant and client, limits the number of options available to the client, and diminishes the client's ownership of both a problem and solution.

One of the most articulate spokesmen for Model Three consultation is Chris Argyris, who has identified the following three requirements for a Model Three consultant (labeled an "interventionist" by Argyris):

> One condition that seems so basic as to be defined axiomatic is the generation of *valid information*. Without valid information, it would be difficult for the client to learn and for the interventionist to help.
>
> A second condition almost as basic flows from our assumption that intervention activity, no matter what its substantive interests and objectives, should be so designed and executed that the client system maintains its discreteness and autonomy. Thus, *free, informed choice* is also a necessary process in effective intervention activity.
>
> Finally, if the client system is assumed to be ongoing (that is, existing over time), the clients require strengthening to maintain their autonomy not only vis-a-vis the interventionist, but also vis-a-vis other systems. This means that their commitment to learning and change has to be more than temporary. It has to be so strong that it can be transferred to relationships other than those with the interventionist and can do so (eventually) without the help of the interventionist. The third basic process for any intervention activity is therefore the client's *internal* commitment to the choices made.[15]

Given these tasks, one cannot begin with the assumption of change in the client system:

> If an interventionist assumes that the client's biggest problems are related to change, he has already made a choice for the client. It may very well be that change is the most important problem or need facing the client. However, it is important that the decision not be prejudged by the interventionist, and, according to the framework, the client should be helped to make the decision. The interventionist can help the client by assisting him in obtaining valid and useful information.
>
> If the majority of interventionists conceptualize problems as involving and requiring change, the potential clients may come to perceive their problems as those of change. The definition of the expert may become the expectation of the nonexpert. But when the executive nonexpert decides (and the interventionist agrees) that he wants to create change in the system, those subordinates responsible for the system may prefer to generate valid information and then see if change is their choice. Such action may be viewed by the top executive (and the interventionist) as resistance to progress, a view which would be incorrect.
>
> Perhaps if the people making interventions, at any level in our society, would focus more consciously and with greater commitment on the primary tasks, we would not experience as much pressure for change. Change may be our biggest societal problem, but it may not be the deepest problem. Indeed if the deepest problems were dealt with effectively, change might not be as important.[16]

Thus a Model Three consultant often believes that change itself is a problem in some institutions. Indiscriminate and repeated change often will produce an instability that insures a minimal or unpredictable impact of a planned change.

To return to our nautical analogy, the Model Three consultant serves as a lighthouse which can be used by the captain and crew to guide the ship safely into or out of the harbor. Control of the ship resides with the ship and its crew. The lighthouse or consultant provides valid information which can be of use to the client. If the information is ignored, the client (ship) may crash into the proverbial rocks. However, the responsibility for this crash resides with the client and cannot be attributed to the consultant—provided that the consultant is giving the client valid and useful information.

Neither power nor interpersonal skills are of primary importance to the Model Three consultant. In many instances, the effective Model Three consultant will be low key and hesitant to promote an idea or program actively. This type of consultant tends to rely on his skills at generating and integrating information. He will be knowledgeable about the institution and about higher education in general. The roles he is most likely to assume are those of diagnostician, facilitator, trainer, and negotiator. On rare occasions, he may serve as expert or judge—though these two roles are usually antithetical to the values and goals of a Model Three consultant.

Concluding Observations

While there certainly is not a perfect match between the five models of consultation that have been proposed by Blake and Mouton and the three models that have just been described, there are several areas of commonality. Model One consultation seems to be compatible with both prescriptive and theory-principle models. Though the theory and principles approach is responsive to the needs of the client, rather than the change goals of the consultant (as is prescriptive consultation), both the prescriptive and theory-principle models begin with the assumption that the consultant initially has more information about the change goal than does the client. The prescriptive and theory-principle consultants are both at least partially in the role of convincing the client that this information is relevant.

The acceptant and confrontational models of consultation seem to be appropriate strategies for change agentry (Model Two consultation). The acceptant model is based on the premise that a person is likely to change only after accepting himself. Conversely, the confrontation model begins with the premise that change occurs when a client recognizes and is uncomfortable about a discrepancy between values and actions. The catalytic model proposed by Blake and Mouton is closely related to our third model ("client-centered") of consultation. Both the catalytic and client-centered models emphasize the information-oriented stages of consultation, although the client-centered model (at least as described by Argyris) also gives attention to the later action-oriented stages.

In providing services to a diverse set of colleges and universities, with unique needs and environments, a consultant must make some difficult decisions concerning the appropriate use of these different models of consultation. In collaboration with the client, a consultant must determine the capacity and willingness of the client system to make full and effective use of a specific model of consultation. To the extent that a consultant can employ more than one model, he probably will be of greater service to any one client, as well as additional clients.

Within certain contexts, each of the different models of consultation will flourish. In general, the more "mature" a client system, the more likely are the change agent, client-centered, acceptant, confrontational, and catalytic models of consultation to be successful. The maturity of a client system is defined by the amount of time the client system already has spent identifying and addressing the convening problem (whether successfully or unsuccessfully), the amount of relevant knowledge and skills available to members of the client system, and the number of previous interactions between the client and consultant (or consultants in general). When a college or university is newly acquainting itself with a particular problem or program, Model One (advocate) consultation and both prescriptive and theory-principle consultation seem to be most appropriate. Model One, prescriptive, and theory-and-principle consultation are often less time-consuming and expensive than are the other models. They also tend to be less controversial and are more acceptable to a naive population than the latter models. One can expect attitude change from a Model One, prescriptive, or theory-and-principle consultation; a change in process from Model Two, acceptant, or confrontational consultation; and structural change or stabilization from Model Three or catalytic consultation.

Finally, Model One, prescriptive, and theory-and-principle consultation seem to be most appropriate and comfortable for the inexperienced or occasional consultant. These models of consultation often result in immediate and tangible success. One also does not have to struggle against the dominant expectation in most client systems that Model One, prescriptive, or theory-and-principle consultation will be provided. The other models of consultation probably are used most effectively by consultants who also feel comfortable using Model One, prescriptive, or theory-and-principle models. The consultant who is limited to Model Two or Three consultation, because he cannot make a speech or write an articulate report, may find himself mismatched with a client who wants something different from a consultation than he can offer. Each of the three models of consultation we have proposed in this chapter has its place in meeting the diverse and challenging needs of the higher education community. A consultant or client would be advised to remain open-minded about each model, and to make profitable use of each one, when the situation and goals of a consultation indicate the appropriateness of that model.

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Document 4-1

Title: The Consulting Style Questionnaire

Source: William H. Bergquist

General Description:

In determining the kind of a consultant that should be recruited, or in defining the type of function that a consultant might serve after having been selected, it is often useful for the person or group who is bringing in the consultant to gather information about campus needs and preferences concerning the consultation. The Consulting Style Questionnaire (CSQ) provides a series of questions regarding the problems of the institution, attitudes about change, campus resources, and so forth. The ratings of each CSQ respondent are totaled and averaged to yield mean scores for each of the three models of consultation that are described in the second half of Chapter 4.

The CSQ should be distributed to people who are currently involved with the convening problem or who might work with the consultant. A population of at least 40 people should be sampled. To insure privacy, the respondents should be requested not to place their names on the questionnaire. The questionnaires and score sheets can be numbered for clerical purposes. When all questionnaires have been collected and individually scored (using the CSQ "Score Sheet"), the mean scores for each respondent in each of the three consulting categories should be added to scores from other respondents in the same category. In calculating the mean score for each respondent, one should be sure not to add in "E" responses and to calculate the mean scores on the basis of the total number of A, B, C, and D (not E) responses.

The three overall mean scores for each of the three consulting categories can be of value in helping the leaders of a college or university select the type of consultant that is most appropriate for the specific institution, at the specific time, working on the specific problem. One also should look at the distribution of the individual mean scores to determine the extent of agreement among the respondents about preferences for one or more of the three consulting models. If there is a wide distribution of scores, or no clear-cut difference between the three overall mean scores, campus leaders might wish to: (1) select an eclectic consultant, (2) bring in several different consultants or a consulting team that includes consultants who embrace different models, or (3) subdivide the problem so that a consultant representing one model can work on one part of the problem, while another consultant representing a different model works on a second part of the problem that is particularly appropriate to this model. The work of the consultants might also be sequenced so that Model One consultants are used first, followed by Model Two or Three consultants (or both).

The question remains—how does one know whether a particular consultant embraces the first, second, or third model of consultation. The reputation of a nationally known consultant often provides sufficient evidence concerning preference for a specific model, though reputation is based on the perceptions and experiences of people who have specific needs and preferences. Alternatively, one can determine the preferences of a consultant through the questions that are asked in contracting the consultant and through initial attempts at establishing a contractual relationship.

If a Model One consultant is wanted, the contact person might wish to state explicitly the institution's wish that a consultant advocate a specific program or change, or generate a specific solution to a certain problem. A Model Two consultant will be attracted to a contract that explicitly asks for skills training and the facilitation of change, and will be turned off by a contract that asks for lectures on a specific content area. A Model Three consultant will be interested in a project that involves data collection and does not begin with the assumption of change. In other words, to the extent that the client system is explicit about its needs and assumptions, a consultant will be able to determine if his own skills and assumptions are compatible with those of the client system.

The prospective consultant also might be given results obtained from the CSQ—along with a copy of the questionnaire and score key. He is asked to indicate whether his own skills, style, and attitudes are compatible with these results. The consultant might be encouraged to fill out the questionnaire as he would imagine an "ideal" client to be (one who could make most effective use of his services). The mean scores for the "real" prospective client are then compared with scores for the "ideal" client to determine the degree of compatibility.

When used as a measure of the "ideal" client system, the CSQ also can be an effective consciousness-raising and training device. The consultant-trainee is first asked to fill out the questionnaire as would members of a client system: (1) with which he would like to work and from which he would gain the most gratification, and/or (2) which he could serve most effectively. The consultant-trainee might fill out the questionnaire from both of these "ideal" perspectives to see if the kind of client system he best serves is also the one that provides the greatest satisfaction. After scoring the questionnaire(s), the consultant-trainees compare scores with each other and discuss the implications of these results for their future work as consultants.

Questionnaire Number ______

The Consulting Style Questionnaire

Instructions: Listed below are several statements that to varying degrees accurately describe your institution. Please rate each of the statements with reference to the relative accuracy of the statement from your own perspective at this institution. Please use the following rating scale when responding to each statement:

A = This statement accurately describes this institution in *most* circumstances.

B = This statement is descriptive of this institution under *many* circumstances.

C = This statement is descriptive of this institution under *very few* circumstances.

D = This statement *does not* accurately describe this institution.

E = I do not have adequate information in this area to make a judgment.

Record your rating in the space located to the left of each statement. If a consultant is being considered for work with a sub-unit of your institution (a department, office, program, or individual), fill out the questionnaire with specific reference to this sub-unit, replacing the word "institution" in each statement with the name of the sub-unit.

______ 1. We are in need of immediate solutions to pressing problems in this institution.

______ 2. A person needs to be interpersonally skillful and aware of formal or informal decision-making processes at this institution if he/she is to effect change.

______ 3. At this point, we need a consultant primarily to help us clarify perspectives, rather than to provide us with solutions or with training resources.

______ 4. We are definitely in need of change at this institution.

______ 5. A person needs some power to effect change at this institution—good ideas and interpersonal skills are not enough.

______ 6. We have recently gone through a number of major changes at this institution; what we need now is some help in reflecting on these changes and planning for the future.

______ 7. People in this institution are comfortable with a consultant who takes charge immediately.

______ 8. This institution has had considerable experience in working with consultants.

______ 9. At this institution, we need a specific kind of change that is responsive to a specific kind of problem.

______ 10. The leaders at this institution are not very objective in their assessment of the current needs and resources of the institution.

______ 11. We seem to be comfortable at this institution with consultants who offer workshops or other skills-training activities.

______ 12. At present, this institution is in a state of crisis; we cannot afford the luxury of long deliberations or data collection.

______ 13. People at this institution are very resistant to anyone from the outside who comes in suggesting solutions to our problems.

______ 14. We have used consultants fairly often at this institution.

______ 15. Significant change seems to be frightening to many people at this institution, but it also seems to be necessary at this time.

______ 16. A person can effect change at this institution if he can make a good argument for the change and muster evidence to support his argument.

______ 17. We have a pretty good idea about how to solve our problems at this institution, but we don't seem to be able to create the conditions to mobilize this change.

______ 18. At this time, we may be more in need of stabilizing influences at this institution than change.

______ 19. The people in this institution have not had much previous experience with consultants.

______ 20. At present, this institution must prepare for several significant changes; we need to be able to initiate change more easily and systematically.

______ 21. We seem to be comfortable at this institution with a consultant who works in a low key manner by asking provocative questions or leading discussions.

______ 22. People in this institution are just beginning to think about the problem to be addressed by this consultation.

______ 23. People at this institution don't seem to need more knowledge about strategies for solving our pressing problems; they seem to need the skills to implement these strategies.

______ 24. We seem to be comfortable at this institution with a consultant who delivers a lecture, speech, or position paper.

______ 25. We have sufficient resources within our institution to solve our problems; what we need is a consultant who can help us make more effective use of these resources.

______ 26. There is currently not much expertise at this institution in the area in which change is envisioned.

______ 27. Leaders at this institution are not very competent in bringing about change.

______ 28. At present, this institution needs to slow down a bit and reflect on its purposes and modes of operation.

______ 29. Leaders at this institution do not seem to have a very good idea about what is needed to solve our immediate problems.

______ 30. We don't need a consultant who will solve our problems for us; we need someone who will help us implement the solutions we have already identified.

The Consulting Style Questionnaire

SCORE KEY

Model One: The Advocate	Model Two: The Change Agent	Model Three: Client-Centered Helper
1. ____	2. ____	3. ____
5. ____	4. ____	6. ____
7. ____	11. ____	8. ____
9. ____	14. ____	10. ____
12. ____	15. ____	13. ____
19. ____	17. ____	16. ____
22. ____	20. ____	18. ____
24. ____	23. ____	21. ____
26. ____	27. ____	25. ____
29. ____	30. ____	28. ____
____ Total	____ Total	____ Total
____ Number of non-E responses	____ Number of non-E responses	____ Number of non-E responses
____ Mean	____ Mean	____ Mean

Conversion Table

A = 1
B = 2
C = 3
D = 4
E - do not record

Note: The *lower* the mean score, the *greater* is the preference for this model of consultation.

Questionnaire Number: ____

SECTION TWO: USING AND TRAINING CONSULTANTS

CHAPTER 5

Using the Consulting Sequence—The Client's Perspective

Introduction

External consultants frequently can provide useful, and indeed, money-saving assistance. However, the largest measure of responsibility for ensuring that consulting dollars are well spent rests with the client. By carefully evaluating the need to use outside help before consultation is sought, by selecting the most appropriate consultant, by carefully arranging the consultation, by thoughtfully evaluating the consultant and the consultancy, the client can take important steps to ensure that he has gotten his money's worth.

Deciding To Use a Consultant

When a decision maker at an educational institution attempts to understand an issue or resolve a problem, insight and advice from outside the college *may* be useful. In some cases, the needed combination of talent and experience may not be available within the college community, or perhaps no one within the community is viewed as being sufficiently objective to give credible advice or conduct an untainted evaluation. As simple as these reasons sound, many college faculty and administrators have considerable difficulty deciding whether to seek external help.

Some organizations bring in consultants before they adequately inventory their own resources. Others inventory their resources and incorrectly conclude that there is sufficient wisdom in-house to indicate that outside help is not needed, even though it might prove useful. In the first case, the decision may reflect an infatuation with outsiders, a low esteem for those within the organization, or a superabundance of resources to underwrite such activities. In the second case, the decision *not* to use a consultant in favor of local talent (or simply ignoring the problem in the hope that it will disappear in time) may reflect an unwillingness or inability to spend scarce resources, an overly optimistic evaluation of internal resources, a desire to control outcomes and, therefore, a fear of independent views, or even an unwillingness to let others view the state of things within the organization. In the ideal situation, the decision to use or not to use a consultant is based on an honest evaluation of the need and the possible benefits rather than a fascination with external prophets, the need to save money, or an unwillingness to have others intrude when they might be helpful.

Before it is possible to determine whether consultation should be considered, the problem or issue in question must be defined carefully. As a key part of the definition process, in addition to clearly stating the problem or issue, the client should outline carefully the outcomes he expects the consulting relationship to achieve. For example, a college president has been unable to obtain financial information needed for both day-to-day operations and reports mandated by the board of trustees. He is aware that other college business offices routinely provide such information to their presidents and boards. The president wishes to obtain a careful, objective analysis of the present situation, as well as recommendations regarding steps needed to ensure the availability of timely, clear, accurate reports. The president would prefer to do this within the framework of present personnel and equipment but will consider changes if they are indicated. The problem is clear—needed (and apparently reasonable) financial reports are not forthcoming. There is also a clearly defineable outcome—remedy the situation using present personnel and equipment as much as possible, but changes will be made if necessary. This potential client is nearly ready to begin evaluating the available resources.

Problems and their solutions are not always so clear-cut, as the following example illustrates. The president has reason to believe that the college bookstore is not functioning as it should be, but he is not certain. It is clear that the bookstore has not produced a profit; in fact, it has lost money every year, a matter of great concern to the business manager. At the same time, customers are complaining about the lack of merchandise. The president believes that the store should be a cultural center with a large inventory of challenging books. The bookstore manager on the other hand, wants to maintain the status quo. Both are becoming increasingly frustrated; the problem needs a solution. But what solution? Some would suggest that the unraveling of the problem might begin with an external consultant who would help the president and the bookstore manager discuss their differing views of the store's purpose and work toward a compromise definition. This might be accomplished through a presentation describing several approaches used in similar situations along with their effects. Once closure is reached (and this may be no simple matter), it is possible to outline the steps required to achieve the desired situation. The external consultant should be able to reach beyond potential personality conflicts, bring a wider breadth of knowledge, and ultimately help the institution solve its problem. But the initial definition of the need for a consultant may be centered simply around the need to clarify the issues and look at alternatives. Such clarity (the agreement that the clients must begin by clarifying the issue) is often sufficient to provide a basis for a consultancy.

In addition to issues and outcomes, a third and critical part of the definition process should be the clearest possible definition of the client. This step often is overlooked, yet its omission may have serious effects on the ability of both client and consultant to produce needed results. The president in the example regarding financial reports is bringing in a consultant to achieve certain results. But the consultant will have to work with the business officer and others to achieve those results, particularly if the president's desire to maintain the present staff is to be achieved. In the example concerning the bookstore, there are also a number of people involved—the president, the business officer, the bookstore manager. In both cases—while the presidents may choose to make themselves the primary clients—the presidents, the other parties, and the consultant (as noted in Chapter 2) should realize that there are several levels of clientship and audience. This realization should be used to strengthen the consulting process. All parties should participate as much as possible in defining the problem and expected outcomes, as well as in selecting the consultant (though the primary client should have final say). To do otherwise is to communicate clearly to the business officer in the first case and the bookstore manager and others in the second a vote of no confidence, and a view of them as objects of study rather than as potential participants in the solution of a problem confronting the entire organization. Although not always possible, such broad participation promotes good will, allays suspicion, and holds promise for making the consulting relationship as profitable as possible for the client.

At this point in the process, most clients should commit the defined problem, the desired outcomes, and the statement of clientship to writing. If the issues involved are clear, this should not require more than a few succinct paragraphs. The importance of this exercise cannot be overemphasized. An analysis of a large number of consultations covering a wide range of topics in some 150 small colleges indicates that lack of clarity about the purpose of a consultancy almost certainly guarantees that the experience will be merely adequate at best and often will be less than satisfactory.[1] While defining the problem does not guarantee success, failure to define the problem almost certainly dooms the consulting relationship.

Assuming that the problem or issue has been clarified, the objectives have been determined, and clientship has been identified, the client can begin to decide whether an external consultant should be brought in. This decision must reach back to a basic premise: only if *appropriate* help is not available within the organization should outside help be sought.

If he has a careful understanding of the need, the client will be able to review the resources currently available within the organization. These resources may exist under a variety of guises. Although the client needing help may be the admissions officer, for example, it does not always follow that the only source of assistance is another admissions officer or admissions expert from outside the college. A faculty member with expertise in marketing or public relations may be a key resource.

Whether the use of internal resources is appropriate will depend on a number of factors yet to be considered. At this point, it is important for potential users of consultants to take a broad look at existing resources to identify those which may be present in the organization. Even if the expertise appears to be available within the organization, it may be necessary or desirable to seek outside help. The internal expert may be unable to deal with the personalities involved in the situation. Or possibly, the person needing help is unwilling to listen to anyone other than an objective third party. An external source may be needed to guarantee that an evaluation will be conducted in the most objective manner possible. Such objective external evaluations frequently are required as a condition of programs and projects funded by foundations and government agencies. They are also a critical part of the self-evaluation and institutional development activities which play such a major role in accrediting processes.

If internal resources are either inadequate or inappropriate, it may be necessary to seek external assistance. *Document 5-1* presents a decision model which also may be useful in evaluating the need for external assistance.

Weighing the Cost and Benefit Factors

Assuming that a particular situation lends itself to the use of an external resource because there are no appropriate internal resources capable of doing what needs to be done, and a permanent hire is inappropriate, there is an additional factor to consider before a final decision to seek outside help is made. The client must weigh carefully the cost of a consultancy in relation to the potential benefits. The question must be asked: Considering the possible benefits of this consultation, how much should this organization be willing and able to invest?

A consulting relationship makes the most sense when the savings or improvement generated outweigh the cost of the assistance. When this is the case, the consultancy becomes "no cost" and may even be a profitable venture. The difficulty comes in setting a value on the possible outcomes and in measuring the real cost of a consultation.

The cost of a consultant goes far beyond the consultant's fee and expenses. Among the additional costs which must be weighed are the expenditures in staff time required to select the consultant, to prepare for the consultant's visit, to monitor the consultancy, and to follow up on the work of the consultant. It is possible to place a rough dollar value on such items. For example, if the consultant's fee and expenses are $1,000, and if 15 person-days are consumed in arranging the consultancy, working with the consultant, and other related activities, the cost of the effort is $1,000 *plus* 15 times the average value of the salaries and benefits of all those involved. The cost of the consulting arrangement quickly moves from marginal to substantial.

In addition to such definable costs, other more elusive expenses must be considered. The potential client may wish to ask how much anxiety the presence of the consultant will create. In some cases, this may be a cost, while in others it may be a value received. When a consultancy has evaluative implications for programs or projects (and therefore for people) the resulting anxiety may slow the function of the organization and result in a loss of productivity. If the dean of students spends two days worrying about whether the evaluator's report will lead ultimately to his dismissal, there are real, albeit elusive, costs.

Value received or expected from a consultancy may be even more difficult to measure. No one has perfect foresight. It is impossible to say that by bringing in a consultant to suggest ways of strengthening the college admissions office, enrollment will increase by five students and the resulting additional $10,000 in tuition revenue will offset the cost of the consultation. Few, if any, consultants offer money-back guarantees. On the other hand, if five more students do not enroll as a result of the consultation, who is to say that if the consultant had not intervened, enrollment would have *dropped* by five students, thereby *costing* the institution $10,000. The point is this—all that reasonably can be done is to project conservatively the benefits that can be expected and to take into account the long-term cost of the situation if it is not dealt with.

Let us consider an example. The decision to continue a new program in a college involves the issue of personnel. Further, these personnel decisions may involve the granting of tenure. If a decision to continue a program includes a decision to retain a person who draws a $20,000 salary with 25 years left to retirement and who also will receive tenure, the decision involves a potential $500,000+ expenditure. In such a case, several hundred or perhaps even several thousand dollars spent to gain the insight necessary to make the best possible decision are worthwhile. The business world seems to be much more sensitive than academic institutions to the multiplier effects of possible errors in such situations; therefore, business relies more heavily on consultants than do colleges and universities. Such care usually is rewarded, although error is still possible. One need only recall the Edsel.

Probably the easiest way to deal with the issue of cost/benefit is to prepare a simple balance sheet, if not on paper, at least mentally. The dollar and psychic costs are listed on one side; the potential benefits on the other. An evaluation of the balance that emerges will aid the client in determining the wisdom of using a consultant. The client may dismiss the idea of a consultant as not worth the price and find other ways to deal with the problem at hand.

More often than not, one must deal with a number of hypotheticals in the process of evaluating cost/benefit. But such a consideration is far better than none at all, especially if it will help those responsible make the best possible decision about spending scarce resources.

Once the client organization has defined the problem, hoped-for outcomes, client(s), costs, and benefits, and using a consultant still seems appropriate, the organization can begin the process of seeking and using a consultant.

Setting Consultant Specifications

If the potential client has defined the problem, outcomes, and clients effectively, and understands what resources need to be committed, the next step is to set up specifications for the consultancy. Specifications should deal with the following issues:

1. Will the consultancy require a lengthy relationship, or will it be brief?
2. Should the consultant have current "hands on" experience with a situation in a similar institution?
3. How important are interpersonal skills? (This factor will be highly rated in most consulting assignments since a consultant who is unable to communicate clearly and effectively almost always will be less helpful than a person who can.)
4. What consulting style will best fit the client? The question of style was considered in Chapter 4 and will be discussed again at length later. However, at this point it is essential that the client realize that a non-directive (Model Two or Three) consultant in a highly managed organization may cause a great deal of frustration. Conversely, a very democratic organization may react negatively to a very authoritarian (Model One) consultant.

5. Are there issues of lifestyle which might interfere with a consultant's effectiveness? Some colleges, for example, may prohibit smoking on campus or have strict dress codes. A consultant who smokes heavily or does not own a tie would not be appropriate in such a situation. One need not limit the pool of appropriate consultants at this point, but should consider how to tell a prospective consultant about these requirements.
6. How important are credentials? There seems to be a trend toward greater interest in proven skills and expertise than in credentials. For some organizations, however, it will be necessary for a consultant to have high prestige measured in academic degrees and publications; for others, the primary determinant will be proven ability.

When these questions (and perhaps others which are individual to a particular situation) have been clarified, the client should have a good picture of the kind of consultant being sought. As in every other personnel decision, specifications will help lessen the chance of extraneous factors entering the equation.

Obviously the amount of time and effort devoted to procedures by which a consultant is chosen should be in proportion to the importance of the consultation in question. One involving only several hundred or even a thousand dollars may be quite different from a consultancy involving a relationship which will continue for a year or more and involve many thousands of dollars and vital institutional questions. Common sense will serve as a good guide. The point is this—the better the initial analysis, the more likely it is that the work will be productive and the experience successful for all involved.

Sources of Consultants

Armed with the knowledge that a consultant is needed and with a set of specifications for hiring and using that consultant, the client can begin locating and evaluating potential sources of assistance. There are many well-known sources, but it is still worthwhile to discuss them by generic type with their attendant advantages and disadvantages. Assuming competence, the client should weigh the major differences among the various types of consultants carefully.

Consulting firms involve a number of persons whose full-time occupation is providing consultation. A firm will provide its members with necessary support services and generally will be interested primarily in substantial undertakings. Because firms include a number of people, they are capable of dealing with a wide range of problems. However, some consulting firms deal with issues only in one particular area—e.g., fund raising, management information system design, admissions programs, and so forth. Because of the number of persons and the relative permanence of such a firm, there is a greater likelihood of continuity in long-term projects. If one member of the firm becomes ill or is otherwise unable to continue with a project, the account can be shifted to another member who probably will have some familiarity with the client. Because firms have more resources than individual consultants, they are also able to take on larger projects. If several days a month are required over a long period of time, or if several people are needed at the same time, they are readily available. For example, development of a management information system may require the expertise of a computer programmer and a management systems analyst working in tandem; such people may be available in a consulting firm.

Because consulting firms must generate sufficient income not only to pay reasonable salaries to those providing service, but also to cover necessary overhead and often (quite legitimately) provide a reasonable return to those who have invested in them, fees charged by well-known firms tend to be higher than those charged by individuals, who have fewer expenses to cover.

A step away from the firm using regular staff are *associates groups*. Such organizations are built most often around one or two full-time principals who market and manage the service but who also call upon a wide variety of additional resource persons on a part-time basis. Such arrangements include some of the benefits of the firm (particularly continuity), with some of the benefits—yet to be discussed—of part-timers, particularly current experience doing the activities about which they consult. Again, because there is some overhead involved in such operations (including the costs of marketing the service and a reasonable return for the principals), fees may be higher than those charged by individuals.

The *person who works at consulting full-time* and whose main or sole source of income comes from consulting activities presents another combination of strengths and limitations. On one hand, because he may have as few as four or five clients at a time, he can spend a considerable amount of time with each. Further, when one deals with such an individual, one knows exactly who will be involved and is assured that after the initial selling job has been done, the project will not be turned over to a "junior member" of the organization. On the other hand, there is always the danger that untimely illness or some other difficulty may interrupt the project, and if the interruption is prolonged, it may require the client to begin again with someone else, causing a loss of time and perhaps some repetition. Such persons tend to have less overhead than the firm or associates group, so their fees may be less than those of the previously mentioned organizations.

On the opposite end of the continuum from the consulting firm is the *person who works at providing consultation only on a part-time basis.* People in this category are employed on a "full-time" basis (often in an academic setting) and more often than not spend full-time working in the area about which they consult. This brings a particular kind of benefit if it is important to deal with a person who knows the problem or issue because he deals with it daily. Also, because the person most often has a substantial salary already, and because fringe benefits are covered already by the full-time employer, the part-time consultant often is able to work for the lowest fee of any of the sources mentioned here. This also is made possible by the fact that the part-time consultant may view such arrangements as a needed and perhaps useful break from ordinary day-to-day concerns and a chance to take a fresh look at similar problems.

But along with the benefits are some liabilities. Because the part-timer's primary obligation is to another employer, consulting relationships may take a back seat. Thus, if time requirements of the consultant's full-time employer change, the consultant may have less time to spend with the client.

Only after carefully considering the assets and liabilities of the various working arrangements of consultants is the client able to choose. The choice should be based on the need the client has, the kind of service that need requires, and the resources the client can or is willing to spend.

Once the type of consulting source has been determined, it may be difficult to locate consultants. Consulting firms and many of the individuals for whom consultation is a full-time occupation market their services aggressively. Some place notices in professional journals and other periodicals likely to be read by those seeking their services. But many individuals who do consulting only on a part-time basis do not promote their services actively, relying on word of mouth instead. Locating the part-time consultant, and particularly locating several part-timers to have several from whom to select, is more difficult.

This difficulty is relieved partially by the fact that many professional associations maintain a variety of lists and registries. Similarly, the various voluntary accrediting agencies often are willing to suggest persons who may help an institution prepare for an accreditation review or develop a new program which ultimately will require review by the accrediting body. It is important, however, to distinguish among simple lists which some groups make available and other more sophisticated approaches.

Some organizations simply invite their members and others to be included in a list of "persons available for consultation." In many cases, this service is provided free to the membership, although some organizations do charge for such listings. There may be little effort made to determine the qualifications of those included on the list, and the list is simply made available to those who requested it. The burden of determining the consultant's abilities and experience then falls to the potential client.

Other organizations go a step further and do some basic screening. They may require nomination by a third party or presentation of credentials indicating competence. Some may require recommendations from satisfied clients. Still other groups are involved in training promising members to be effective consultants. Accrediting associations, for example, often provide training and orientation sessions for people who will serve on accreditation teams and who also may be recommended for consulting assignments. Individuals who receive such training usually are required to adhere to certain practices or ethical codes. Records are kept of those who do serve in such programs. The Southern Association of Colleges and Schools, for example, maintains computerized records of the services provided by persons it includes on its resource list. The Council for the Advancement of Small Colleges provides a number of training opportunities for persons who participate in its National Consulting Network and maintains extensive files of the consulting efforts it coordinates.

In some cases, organizations and associations may go beyond the listing, screening, and even training of those who may be available as part-time consultants. They help potential clients clarify their problems and then help them select among the available pool of consultants. Recommendations of consultants can then be based on factors ranging from a general knowledge of the client institution to a review of a consultant's effectiveness in previous consultations. Among those who are able to provide this additional service are the National Endowment for the Humanities, through its Promotion of the Humanities-National Board of Consultants, and the Council for the Advancement of Small Colleges. In both cases, the organizations can offer the extra measure of service because the overhead is supported from sources other than consulting service fees.

A final point must be made with regard to selection. The ultimate responsibility for the choice made, no matter what the source, rests with the client. Whether the source to which the client goes proposes a complete range of services (as in the case of the consulting firm) or provides a relatively rough list of part-time practitioners, no one can force a client to enter into a relationship with a consultant. And if a seemingly useful arrangement sours, steps should be taken to terminate the relationship before unnecessary damage is done.

Contracting

Once a decision has been made to use a consultant and the consultant or consulting firm has been selected, the next step (following entry—see Chapter 2) in the process is the development of an agreement between consultant and client specifying the terms of the consultancy. This section focuses on such agreements and suggests elements that might be included in them.

At the outset, it is important to note that the degree of formality of the contract will depend on the needs of the parties and the complexity of the arrangement. As in the other stages of the consulting process, complex, protracted, and expensive arrangements require more time and effort than short-term, relatively simple activities. Arrangements involving the provision of services by a large firm over a long period of time will tend to involve more complex and often more legally specific arrangements. Small organizations or individuals working on limited projects may require a simpler form. There are, however, a number of items which should be covered whether the vehicle is a formal contract or a simple letter of understanding.

As the agreement develops, it is important to emphasize that the more interactive communication that takes place during the contracting process, the more likely it is that the consultancy will be successful. Careful analysis of more than 150 consultations[2] indicates that while a great deal of interactive communication does not guarantee a successful consultation, the lack of interactive communication is a strong portent that something less than high satisfaction on the part of both client and consultant is likely to result.

Interactive communication may occur in a variety of ways. The amount of time devoted to this process and the means employed to achieve it again may vary depending on the extent and complexity of the relationship. When many thousands of dollars are involved, and the project is one of great significance for the client, it may be appropriate and even necessary for a number of face-to-face meetings to clarify the relationship. On the other hand, a brief visit may be planned adequately during several long-distance telephone calls. The point is simple. Letters and similar methods, while they have a place in the process, simply do not provide the opportunity for the free exchange of ideas and the necessary follow-up questions which occur during in-person or telephone communication. During the process of arriving at an agreement, the critical elements should be discussed either in person or by telephone to reduce the opportunity for confusion, misunderstanding, and eventual dissatisfaction as a result.

The agreement should begin by clearly satisfying both the consultant and the client. As noted earlier, while clientship may seem obvious, several factors may complicate the issue. If the consultancy involves more than one client or more than one level of clientship, that should be noted. Also, if a consulting firm or associates group is involved in the arrangement, the actual personnel dealing with the particular project should be referred to explicitly.

The agreement also should state clearly the purpose of the consultancy. While this will have been done initially when the need for a consultant was determined, it should be noted that the statement of purpose may have evolved in a way that either clarifies or recasts it. The most current statement of the problem should be included in the agreement, along with the outcomes which the client and consultant agree upon.

The agreement also should spell out clearly the amount of time the consultant will devote to the project. Whenever possible, specific dates for various activities are noted. Closely tied to the schedule for the consultancy should be a list of the specific activities that the consultant will perform. If, for example, the consultancy will involve a presentation to a group, the nature and size of the group should be stated. Likewise, experience has shown that the inclusion of a list of the specific institutional personnel who will be involved in a project or consultancy should be identified. These steps of identifying people and activities should prevent the consultant arriving on the client's campus to find that the appropriate people are not available or are not aware of his presence. It also eliminates surprise and embarrassment when a consultant, who believes he is coming for a series of meetings with individuals, arrives only to be asked to make a presentation to a large group. The client should not be surprised if the consultant reacts negatively to such spontaneous requests.

The agreement also should specify the kinds and types of reports which will be expected. The listing should include the audience for whom the report is being prepared—i.e., an external funding source, the board of trustees—and the condition (typed, printed, bound, etc.) in which it is to be delivered. There also should be an understanding about the magnitude of the report. Finally, whether the client will receive a report in draft form before the final report is submitted should be indicated. While most consultants will agree to and may even prefer such arrangements to eliminate obvious errors of fact or interpretation, the less experienced consultant may not do so unless such a request for a draft is specified.

Many who are involved in consultancies—either as clients or consultants—on a regular basis, find it useful to specify in the agreement what kinds and types of materials are to be supplied or prepared by the parties involved prior to the consultation. If the consultant believes that certain documents are an essential part of his preparation—e.g., budgets, audits, lists of personnel, copies of proposals—this need should be indicated in the agreement. Also, any documents or materials the client expects the consultant to provide—e.g., resume, copies of articles, prepared remarks—should be stated and agreed upon.

The agreement must spell out the financial arrangements as well. The method used to determine the consultant's fee, and the total amount of the fee, should be noted. A payment schedule should be agreed upon beforehand. Some clients find it useful to withold all or part of the fee until all of the agreed upon duties have been completed.

If, in addition to the fee, the consultant's travel expenses are to be reimbursed (virtually always the case), these should be estimated carefully and appropriate maximum rates for per diem costs and types of travel should be noted. Particularly in the case of the part-time or occasional consultant, these expenses should be reimbursed in the most timely manner possible since persons functioning in this part-time mode often do not have the capital to finance out-of-pocket travel expenses for long periods.

The statement of financial arrangements also should include other additional charges or expenses, such as fees for duplicating materials, secretarial services, printing services, computer time, long-distance telephone expenses, and the like. Many times (again more often with the occasional consultant than with others) these items are not spelled out prior to the consultation and may become the cause of needless hard feelings or confusion during and after the consultancy. Businesslike arrangements should be made whether the consultant is an organization, an individual previously unknown to the client, or an old friend. The fewer surprises encountered, the more likely all involved will be pleased.

An item which should be considered but which relates primarily to major and long-term arrangements is the setting of conditions under which a relationship may be terminated. Most successful consulting groups are willing to terminate an arrangement on relatively short notice if the client is not satisfied and if steps cannot be taken to remedy the difficulties. Similarly, consultants will specify the conditions under which they may wish to withdraw from the relationship. While such escape clauses may be used rarely and may have a forbidding ring to them, they are very important in those few cases where they are needed.

The final item which some may wish to include in a consulting agreement is a statement about how the consultancy will be evaluated and how the evaluation will be used. Consultants often ask clients to evaluate the services rendered to improve the quality of their work in future consultancies. A client who is concerned about institutional improvements also may wish to ask that the consultant evaluate the client's use of consulting services to help improve his use of services provided by future consultants.

One additional note on the contracting process as an entirety is appropriate. Contracts or agreements should be viewed as developing documents. From time to time, conditions may change and recontracting (with mutual agreement) may be appropriate or even necessary. Of course, if either the client or consultant is reluctant to modify the agreement, the original terms should be honored or consideration should be given to terminating the arrangement. At the outset of a consultation, for instance, the institution may request a very simple analysis of a problem. As the consultancy proceeds, it may become apparent that the problem is considerably more complex than anticipated and the proposal of an appropriate set of options for solving it may require a lengthy analysis. If the client wants such a lengthy report, he should be willing to alter the contract to provide sufficient time and remuneration to allow the consultant to do the necessary work. In another case, the consultant may determine that further analysis is needed to do what the client has asked. In such circumstances, the consultant may propose recontracting; if the institution refuses, the consultant should be expected to fulfill (but not exceed) the original bargain, acknowledging, perhaps, the need for additional work.

Managing The Consultancy

If preparation for a consultancy has been thorough, the consultancy itself should be relatively unhampered by administrative details. Full attention can be given to accomplishment of the task at hand. Normally one person, whether he be the principal client or (as is frequently the case) someone else, should be in charge of administration.

This means that necessary appointments will be made well in advance with appropriate reminders given close to the time the meetings will take place. Facilities will be reserved and checked prior to the time they will be needed. Arrangements will be made to provide airport pickup (if needed) and hotel accommodations.

Of particular importance are the human preparations. Those individuals with whom the consultant will be working should know who is coming and why he is coming. This step not only eliminates the need for repeated explanations and introductions during the consultancy, but, more important, such preparation may defuse considerable anxiety on the part of those involved.

In arranging appointments for the consultant, the person in charge should take into account those individuals who wish to see the consultant, as well as those the consultant wishes to see. Generally this list will be spelled out in the consulting agreement. Scheduling should allow sufficient time to do what needs to be done, but not so much time that the consultant will have too much free time.

The person responsible for logistical arrangements also should see that materials requested by the consultant are collected and delivered to allow the consultant sufficient time to review them before he arrives. In cases where information must be collected, the person in charge should have sufficient organizational standing to be able to obtain the cooperation of those who must collect and assemble the data.

Once the consultant has arrived and the consultation is underway, the coordinator's role becomes that of general facilitator. It is important that provisions be made to help the consultant stay on schedule, to provide additional information which may be needed, and to schedule any necessary additional interviews or meetings.

If the work of facilitating the consultation is done carefully, the event will be a pleasant experience for all. On the other hand, if sufficient attention is not paid to logistical details, the discomfort, frustration, and inconvenience can be expected to have an impact on the final outcome of the consultancy.

Finally, consultants are people and they do require "care and feeding." While feelings obviously vary from person to person, most consultants prefer being kept busy. They also enjoy comfortable (though not necessarily lavish) surroundings. This may mean providing the consultant with a motel or hotel room off-campus rather than a dormitory guest suite. It may also mean providing for meals off-campus rather than expecting the consultant to enjoy a steady diet of dormitory food. Most consultants will make their preferences known, but the client should not hesitate to check with the consultant about such matters. The wishes of the consultant also should be considered in the process of planning for free time. Some people enjoy attending faculty gatherings or other social events, while others may have a real need for time to reflect quietly on the events of the day. These needs should be respected and taken into account in the process of planning a visit.

Evaluating the Consultancy and Using What Has Been Learned

When the consultancy has ended, the client has received the consultant's recommendations, and the bills have been paid, what next? First, the client must begin to use what has been learned from the event. If suggestions are received but never considered, the value of the consultancy will be diminished considerably. Suggestions offered and questions raised should be given careful consideration. In the end, they may be rejected in part or perhaps modified, but the analysis of the insights the consultant offers must be used for the consultancy to have any effect.

The prime client in a consultancy may wish to make arrangements to review the impact of the consultancy after some time has elapsed. This may involve occasional discussions about progress made on implementing of suggestions or an analysis of the results achieved by implementing those recommendations which are adopted. If the consultancy has resulted in changes in organizational behavior or practice, for instance, the client may wish to monitor the changes, and if they are helpful to take steps to insure that as time passes, those involved do not lapse back into prior patterns.

While using what has been learned from the consultancy is important, it is also important that both client and consultant reflect on the consulting process itself. Certainly the consultant will want to improve his skills to be even more effective in future situations. Likewise, the institution may learn how to gain even more benefit from the resources it will invest in consultation in the months and years to come.

There are a number of ways to evaluate consulting experiences. (Sample evaluation formats are provided in the documents section following this chapter.) As stated earlier, most consultants welcome and may even solicit an evaluation of their work. This is an important part of a quality control process.

It is less common for a client to inquire of the consultant about his own use of the consultant's resources. Yet this too can be an important tool. Questions which the institution may wish to use involve both internal reflection on the experience and the consultant's review as well. The degree to which the institution was prepared for the consultant's visit is important. Some consideration also should be given to receptivity of the client to the consultant and the consulting process. The institution may wish to begin to list those things it would do better or differently during its next consultancy and may even wish to prepare a set of simple guidelines for the client or the coordinator of future consultancies. Of course, the materials provided in this volume may serve this purpose to some degree, but there will be many factors unique to each organizational setting which should be noted for future reference.

Summary

Even the best consultant—both in terms of technical skills and the ability to deliver these skills—will find his effectiveness reduced by poor planning, poor preparation, and poor use by the client. While top consultants will work carefully to avoid such problems by insisting that the client work out those details which he considers important, the fact of the matter is that many consultants who work with institutions of higher education, and particularly with small colleges, tend to be persons who pursue consultation only as a part-time endeavor. Therefore, the better job the client does in preparing for a visit, the greater is the likelihood that the consulting relationship will be productive, useful, and satisfying for all involved.

References

[1] John A. Seeley, *Final Report: An Evaluation of CASC's National Consulting Network* (Ann Arbor, Michigan: Formative Evaluation Research Associates, 1978), pp. 5, 17.

[2] Seeley, pp. 5, 17.

Document 5-1

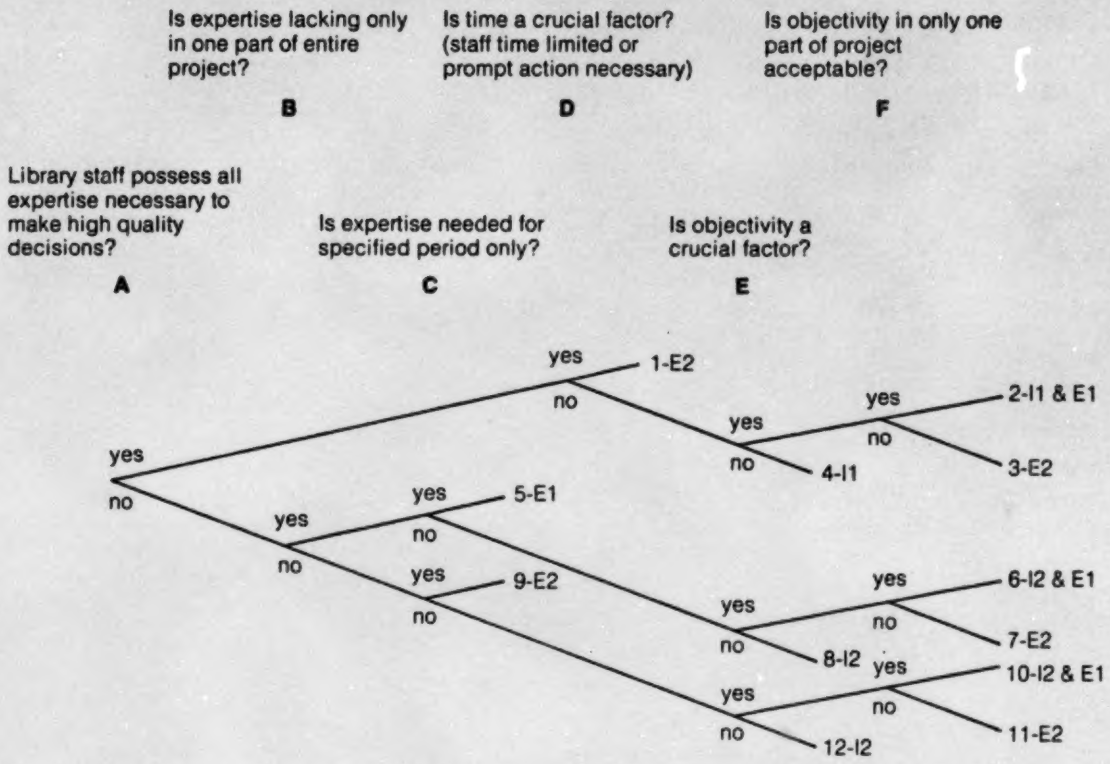
Title: Decision Model for Determining the Need for External Consultation*

Source: James D. Lockwood, "Involving Consultants in Library Change," *College and Research Libraries* (November 1977), pp. 498-503.

General Description:

This excerpt offers a schematic diagram of the decision process leading to the selection of a consultant. While the details of the process are specifically related to library consultants, the authors believe that the model has broader applications.

FIGURE 1
Decision Model for Determining the Need for a Consultant


Is expertise lacking only in one part of entire project?
B
Is time a crucial factor? (staff time limited or prompt action necessary)
D
Is objectivity in only one part of project acceptable?
F
Library staff possess all expertise necessary to make high quality decisions?
A
Is expertise needed for specified period only?
C
Is objectivity a crucial factor?
E
yes
no
yes
1-E2
no
yes
no
4-I1
yes
2-I1 & E1
no
3-E2
yes
yes
5-E1
no
no
yes
9-E2
no
yes
no
8-I2
yes
6-I2 & E1
no
7-E2
yes
no
12-I2
yes
10-I2 & E1
no
11-E2

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Determining the Need For Assistance From Outside the Library

When considering prospects for change, regardless of its nature, there is usually some concern over how important decisions are made. Who should be involved, what data are necessary to support given alternative solutions, and similar concerns are commonly voiced.

The numerous benefits of the use of consultants have been spelled out clearly in the literature of both library science and business. Briefly, these include new ideas, fresh approaches, analytic ability, specialized skills and experiences, superior ability to introduce and implement change, ability to work on a specific problem with all resources at one time, objectivity (both for political reasons of corroborating a desired point of view and in the sense of "no conflict of interest"), more up-to-date knowledge, and the fact that consultants are not permanent burdens to the organization's payroll.

Each of these potential benefits falls under one of three broad categories: skills and abilities, time factors, and objectivity and influence. Each of these dimensions will have considerable bearing on decision-making. If the objective is a well-chosen change program, appropriately introduced, then the ***quality*** of decisions throughout the entire process is of utmost concern.

In terms of increasing the quality of decisions, three factors operate that already might exist to the fullest extent necessary for the particular undertaking. The quality of the decisions made throughout the process outlined above is a function of (1) the number of alternatives considered, (2) the accuracy of the predictions about the consequences resulting from selecting each alternative, and (3) the nature and efficiency of the feedback mechanisms provided (allowing adjustments resulting from corrections, changes, etc.).

That is, all of the potential advantages could be present in the library to begin with, or adding a position for an individual processing the desired qualities may be possible. Some organizations, for example, believe it possible to set up internal consulting groups ***within*** their company, allowing for internal objectivity. This is viewed as increasing the number of alternatives considered and the accuracy of the predictions about the consequences of each.

The four basic sources of assistance for increasing the quality of decisions made during the change process are:

Internal
  I1: Utilize present staff
  I2: Add a specialist to the staff

External
  E1: Engage a critic to review and provide assistance for a particular part of the program
  E2: Engage a consultant (firm or individual)

Figure 1 presents a decision model based upon these four sources. It is important to note that although no one model or set of considerations can apply for all types of libraries or programs, there are several important steps that take place in assessing any library's situation.

The model is essentially a contingency model. As was stated above, it is quite possible that a given library might have all of the qualities and resources allowing the planning committee to arrive at high quality decisions. The ability to take advantage of this, however, is contingent upon the time considerations present. If prompt action is critical or if the use of staff time will severely curtail services, then it still may be wise to obtain assistance from outside.

The considerations, expressed in question form, are arranged along the top of the figure. To use the model for assistance in arriving at a decision, one moves along the decision tree from left to right. Barring the presence of any overriding external factors, the symbol at the terminal node designates one of the prescribed alternatives noted above. A discussion of the rationale of each of the twelve outcomes follows the description of each consideration.

The first two considerations in Figure 1 (A and B) focus on the locus of the expertise, which is important in assuring the likelihood of high quality decisions. Does it reside within the organization, or must it be obtained from outside? Consideration B simply assures economy in cases where expertise in most aspects of the project is already present. Consideration C is a second factor, further clarifying the temporariness-permanence dimension of the needed skill.

Time (Consideration D) is, in effect, a measure of urgency and priority. As stated above, if prompt action is crucial (that is, if delays are costly to the library or its users), then outside help is sought, or there is a restructuring of priorities, e.g., the completion of the project overrides concern for staff assistance to the user.

The final two questions (E and F) must be considered while keeping two outcomes in mind. If objectivity is preferable for the purpose of (1) obtaining responsible analysis of data or of a particular situation or (2) providing an outside opinion because powerful decision-making bodies may be skeptical of internal opinions (i.e., ***perceived*** lack of quality decisions), then E must be answered in the affirmative. Consideration F provides for economy, as in cases where objectivity only is required at a particular phase.

The rationale for each of the twelve outcomes is as follows:

1—E2 If the present staff possess the necessary expertise, a lack of time alone is sufficient cause for obtaining outside help. If the quality of decisions is to be maintained, then we need not go so far as to explore the question of objectivity.

2—I1 & E1 The presence of expertise within the staff and its availability in terms of time still may not satisfy objectivity requirements. In this instance objectivity is required for only one part of the project, allowing the external critic to supplement the present staff.

3—E2 Outcome 3 is identical to Outcome 2, except that objectivity throughout the project requires the engagement of a consultant.

4—I1 This solution allows full reliance on present staff, who possess both the expertise and the time required, while objectivity is not crucial.

5—E1 If expertise is lacking but for only one segment of the undertaking, the next question becomes, "Is expertise required on a temporary or permanent basis?" In this case a critic can provide short-term aid in one segment of the project. Since a critic is one from the outside, the provision for objectivity is met without pursuing the two final considerations.

6—I2 & E1 This is identical to Outcome 5, but the permanence of the required expertise calls for the hiring of a competent specialist. This can be done in this instance since objectivity, although crucial, is only necessary to one part of the project. The result is that a critic may be employed for segments requiring objectivity. This supplements the qualities of the specialist.

7—E2 The distinguishing factor in this outcome is the requirement for objectivity throughout the project, while at the same time the limits of the need for expertise cannot be specified. Such a situation has no inexpensive solution. To assure objectivity, an outsider usually is deemed desirable. Nonetheless, over a lengthy period, outsiders may lose a degree of objectivity as well. Such instances may require a series of competent consultants. An example is a case requiring a specialist in affirmative action implementation, who for political reasons must remain outside the library's employ.

8—I2 This solution is identical to Outcome 5, but the need for expertise on a permanent basis calls for the hiring of a specialist even when objectivity is not essential.

9—E2 When desired expertise is lacking for significant portions of a project and when the period of required expertise is delineated, then we have the classic consulting situation. Time and objectivity need not enter into consideration, as sufficient cause for aid on a temporary basis from outside the organization already exists.

10—I2 & E1 The three final outcomes all represent a condition wherein expertise is lacking in a significant portion of the project, and that expertise will be required for an indefinite period. In Outcome 10, a suitable solution can be achieved by hiring a specialist, supplementing this individual's expertise with the objectivity of a critic in the part of the project requiring that quality.

11—E2 The circumstances in Outcome 10 become considerably modified when objectivity is crucial throughout the project. This is a more extreme version of the circumstances presented in Outcome 7. As with Outcome 7, filling this need may prove to be expensive to the library.

12—I2 In the final outcome, seeking a permanent specialist represents the ideal solution. What is called for is relatively broad based expertise in a given area over an indefinite period. Since objectivity is not a requisite, employing the specialist will assure the continuity of skills desired.

Through use of the considerations noted in Figure 1, a decision to utilize any one of the four basic sources of assistance could be reached. The remaining sections of the paper, while relevant to I2 and E1, assume that E2 is the prescribed solution. If the consultant is truly necessary, for any of the reasons stated above, the planning committee would do well to prepare for the rigor of a well-designed selection process and for the peculiarities of a consultancy relationship. The nature of a consultancy relationship calls for careful consideration of factors not normally taken into account in the hiring of regular staff.

Document 5-2

Title: Consulting Agreement

Source: Daniel H. Pilon and Patricia Kay Brian

General Description:

This sample agreement form is designed for simple, short-term consulting situations. The agreement covers all of the basic information needed for less complex situations and can easily serve as the basis for an expanded version for more complex relationships. In expanded form, the agreement also should provide for termination of the agreement by either party. Users also may wish to include information about the evaluation process to be followed.

COUNCIL FOR THE ADVANCEMENT OF SMALL COLLEGES
NATIONAL CONSULTING NETWORK FOR LIBERAL ARTS COLLEGES

CONSULTING AGREEMENT

1. Institution ______________________ Contact Person ______________________
Name/Title

2. Person to whom reports should be sent ______________________
Name/Title

3. Consultant ______________________

4a. Is your institution a member of the Small College Consortium (SCC)? _____Yes _____No

If answer to 4a is yes, please complete 4b and 4c.

4b. Is this consultancy related to your SCC growth plan? _____Yes _____No

4c. Has this consultancy been discussed with the SCC staff person in charge of the technical assistance area within which the consultancy falls? _____Yes _____No

5. Purpose of the consultancy. (Be specific)

____

____

____

____

6. Number of days of consultation:
_____Preparation prior to visit
_____Consultation
_____Follow-up and report preparation
_____Total days of consultancy

7. Dates of consultation ______________________

8. With whom will the consultant meet during the visit? List by name and position:

______________	______________
______________	______________
______________	______________
______________	______________

9. Materials:
To be supplied prior to consultant's visit
____
____
____
____

10. Reports:
_____Oral debriefing at conclusion of visit
_____Written report and recommendations
Date report due ______________
_____Other ______________
____

11. Estimated travel and per diem expenses: ______________________

12. Method of paying travel and per diem expenses:

a. Transportation

_____1. Prepaid Ticket

_____2. Consultant to be reimbursed prior to departure from host institution

_____3. Other _____________________________

b. Living Expenses

_____1. To be arranged for and billed to host institution

_____2. Consultant to be reimbursed prior to departure from host institution

_____3. Other _____________________________

13. _____________________________
Consultant's Signature

14. _____________________________
Signature of person authorized to commit institutional funds.

Document 5-3

Title: Evaluation Forms for Consultants and Clients

Source: Daniel H. Pilon, Patricia Kay Brian, Richard Heidinger

General Description:

While these documents may be more complex than some clients or consultants deem necessary, they provide the basic elements needed to gain the fullest possible understanding of a consulting relationship. They may be adapted by institutions or consultants to suit their own needs.

INSTITUTION ______________________________

CONSULTANT ______________________________

CASC
National Consulting Network

CONSULTANT'S EVALUATION

The questions on the following pages solicit your reactions to selected aspects of your National Consulting Network consultation. Your frankness and candor will assist us in improving the effectiveness of the NCN. When you have completed this portion of the evaluation, please return it to CASC in the ***white self-addressed envelope.*** In advance, thanks for helping us.

I. PREPARATION FOR THE CONSULTATION

1. Please describe the purpose of this consultation. Be as specific as possible.

2. The following list presents a number of possible mechanisms your host institution may have used for communicating to you its institutional concern. Please check *how useful* each form of communication was for informing you about the nature of the institution's concern.

Forms of Communication	Very useful	Some-what useful	Not very useful	Not at all useful	Not used
a. Written document(s) prepared especially for you, the consultant.					
b. Documents which had been prepared for other purposes, e.g., committee reports, letters, information files, etc.					
c. Telephone conversation(s) with institutional representatives.					
d. Face-to-face meeting(s) with institutional representatives.					
e. Other: ______________________					

3. Please describe briefly how you prepared for this consultation.

4. There are a number of factors involved in assisting a consultant's ***preparation*** for a consultation. Several of these are listed below. Thinking back prior to your visit, ***how satisfied*** were you with each factor in your preparation? (Please check the appropriate response.)

How satisfied were you with . . .	Extremely Satisfied	Very Satisfied	Somewhat Satisfied	Somewhat Dissatisfied	Very Dissatisfied	Extremely Dissatisfied
a. The clarity of the institution's purpose in seeking a consultant.						
b. The clarity of the institution's expectations for your role during the consultation.						
c. The information provided by the institution prior to the visit.						
d. The elapsed time between receipt of information from the institution and the consultation visit.						
e. The amount of time you had to prepare after meeting the commitments of your own job.						

5. Taking all things into account, how well prepared were you for this consultation?

_____Extremely well prepared
_____Very well prepared
_____Only somewhat prepared
_____Not at all prepared

6. Overall how ***satisfied*** were you with the institution's preparation for your visit?

_____Extremely _____Very _____Somewhat _____Not very _____Not at all

7. At the time you arrived at the host institution's campus, how much agreement was there within the institution on the purposes of the consultation? Please check the response which most nearly characterized the institution.

_____COMPLETE AGREEMENT: All institutional representatives agreed on the purposes of the consultation.

_____SOME AGREEMENT: There was basic agreement with some minor differences of opinion.

_____SOME DISAGREEMENT: There existed some substantial differences of opinion with regard to the purpose of the consultation.

_____STRONG DISAGREEMENT: Institutional representatives all viewed the purposes of the consultation very differently.

II. EFFECTIVENESS OF THE CONSULTATION

1. How *effectively* did the institution use your time on campus?
___Extremely ___Very ___Somewhat ___Not very ___Not at all

2. Did the key people involved with the institution's concern meet with you?
___Yes ___No If no, please indicate whom you would have liked to meet and why.
____
____
____

3. How *knowledgeable* were you in the area of expertise needed for this consultation?
___Extremely ___Very ___Somewhat ___Not very ___Not at all

4. In retrospect, how *useful* did you think you were in helping the institution work through its concern?
___Extremely ___Very ___Somewhat ___Not very ___Not at all

5. Generally, how *receptive* to your input were the institutional representatives during the meetings?
___Extremely ___Very ___Somewhat ___Not very ___Not at all

6. What did you do during your consultation that you regard as the most helpful?
____
____
Least helpful? ______________________________
____

7. What type of final report and responsibilities did you negotiate with the institution to fulfill your consulting obligations?
____
____

8. As a result of participating in this consultation, how much have your skills as a consultant increased?
___A greal deal ___Somewhat ___Not very much ___Not at all

9. Considering the work involved in this consultation and your professional gains from the experience, how do you assess the honorarium you received for your services?
___Too little ___Sufficient ___Too much

10. If you had an opportunity to conduct this consultation over again, what would you do differently?
____
____
Why? ______________________________
____

11. What single skill would you like to develop further to increase your effectiveness as a consultant?

____

12. In general, how satisfied were you with this consultation?

Extremely satisfied	Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very dissatisfied	Extremely dissatisfied
______	______	______	______	______	______

___I am willing to have this evaluation shared with the host institution for its learning and growth.

___I prefer not to share my evaluation with the host institution.

Many thanks for completing this questionnaire. ***This form is to be returned directly to CASC.***

____
INSTITUTION

____
CONSULTANT

CASC
National Consulting Network

INSTITUTIONAL EVALUATION OF THE CONSULTATION

The questions on the following pages solicit your reactions to selected aspects of your National Consulting Network consultation. Your frankness and candor will assist us in improving the effectiveness of the NCN. When you have completed this portion of the evaluation, please return it to CASC in the ***white self-addressed envelope.*** In advance, thanks for helping us.

I. INSTITUTIONAL PREPARATION FOR THE CONSULTATION

1. Please briefly describe how your institution prepared for this consultation.

2. The following list presents a number of possible mechanisms you may have used for communicating your institutional concern to your consultant. Please check *how useful* you felt each form of communication was for informing the consultant about the nature of your concern.

FORMS OF COMMUNICATION	Very useful	Somewhat useful	Not very useful	Not at all useful	Not used
a. Written document(s) prepared especially for the consultant.					
b. Documents which had been prepared for other purposes—e.g., committee reports, letters, information files, etc.					
c. Telephone conversation(s) with the consultant.					
d. Face-to-face meeting(s) with the consultant.					
e. Other: ____________________ __________________________					

3. Considering your institution's experience in ***preparing*** for this consultation, what would you do differently?

a. to prepare the consultant? ______________________________

____

b. to prepare your institutional representatives for the consultation? ______________________________

____

____

4. At the time the consultant arrived on your campus, how much agreement was there within your institution on the purposes of the consultation? Please check the response which most nearly characterized your institution.

_____COMPLETE AGREEMENT: All institutional representatives agreed on the purposes of the consultation.

_____SOME AGREEMENT: There was basic agreement with some minor differences of opinion.

_____SOME DISAGREEMENT: There existed some substantial differences of opinion with regard to the purposes of the consultation.

_____STRONG DISAGREEMENT: Institutional representatives all viewed the purposes of the consultation very differently.

II. PREPARATION AND STYLE OF THE CONSULTANT

1. Please describe the purpose of this consultation. Be as specific as possible.

2. Considering the amount of information you provided your consultant prior to the visit, how prepared did he/she seem to be regarding your institutional concern?

_____Extremely well prepared   _____Very well prepared   _____Only somewhat prepared   _____Not at all prepared

3. How ***knowledgeable*** was the consultant in the area of expertise needed for this consultation?

___Extremely ___Very ___Somewhat ___Not very ___Not at all

4. How ***clearly*** did the consultant communicate his/her ideas about your institutional concern during the consultation?

___Extremely ___Very ___Somewhat ___Not very ___Not at all

5. How ***effectively*** did the consultant use his/her time while on the campus?

___Extremely ___Very ___Somewhat ___Not very ___Not at all

6. How ***effectively*** did the consultant work with a group of people?

___Extremely ___Very ___Somewhat ___Not very ___Not at all

7. How ***effectively*** did the consultant work with individuals?

___Extremely ___Very ___Somewhat ___Not very ___Not at all

8. What did the consultant do that was ***most helpful?*** ______________________________

____

____

Least helpful? ____

____

9. What, if any, suggestions do you have for the consultant to improve the effectiveness of his/her service?

10. Would you recommend this consultant for comparable consultations at other institutions?
_____Yes, definitely.
_____Yes, with reservations. Please describe these reservations. ____________________
____
____
_____No. Why not? ____
____

____

III. OUTCOMES FROM THE CONSULTATION

1. Overall, how ***useful*** was this consultation to your institution?
___Extremely ___Very ___Somewhat ___Not very ___Not at all
Please explain: ____
____

2. Specifically, ***as a result of this consultation,*** what plans does your institution have for continued work on this concern? ____________________________
____
____

3. In general, how ***satisfied*** were you with this consultation at your institution?

Extremely satisfied	Very satisfied	Somewhat satisfied	Somewhat dissatisfied	Very dissatisfied	Extremely dissatisfied
____	____	____	____	____	____

4. In retrospect, is there anything you would do differently if you were to conduct this consultation again? ___No ___Yes If so, please explain:

___I am willing to have this evaluation shared with the consultant for his/her learning and growth.
4. ___I prefer not to share this evaluation with the consultant.

Many thanks for your effort and time in completing this survey. ***This form is to be returned directly to CASC.***

CHAPTER 6

Using the Consultant's Expertise

Introduction

When considering consultation as a means of dealing with a situation or problem, many potential clients tend to think almost exclusively in terms of the expert consultant. This is an entirely reasonable response and a reflection on our highly specialized society which reaches out to the expert in a variety of situations. We learn to consult physicians, plumbers and electricians, attorneys, and other experts who use their specialized knowledge to diagnose, prescribe, repair, and represent. This reliance on expert assistance on the personal level has carried over to government, business and education.

It is no wonder, then, that when potential clients in education think of outside consultants, they think of experts. Cynics encourage a low opinion of the professional expert no matter what the field, and view the bulk of consultants as predators who abuse a gullible public. While this cynicism may be justified in some cases, the expert consultant can be extremely useful. Potential clients should evaluate situations carefully and then use experts only when they are called for. However, even when other models of consultation are appropriate (see Chapter 4), and the distinction is recognized, there will be a need for expertise on the part of the consultant. In addition, in most cases, the consultant will be perceived as an expert no matter what his process role is.

Purpose

This chapter discusses situations in which expert consultants clearly are called for within the college setting. The ability of the consultant is not at issue here. The important distinction which must be underscored, however, is that the expertise of some consultants is in a particular subject matter or program area; the expertise of others is in the area of interpersonal or organizational process.

This chapter has two specific objectives: (1) to describe five common situations which seem to be best served by the expert consultant, and (2) to discuss the steps clients and consulting experts should take to gain maximum benefit from their relationship. The discussions will center on difficulties which are common to such relationships and will suggest ways to overcome them.

When to Call the Expert Consultant

Many situations call for the talents of an expert consultant. Generally the situations fall into one or a combination of the five areas to be discussed. At the same time, it should be noted that few consultations fit neatly into any one category among the five; several categories may overlap just as the need for the subject matter expert may be tempered by the need for a consultant with some of the process skills present in a Model Two or Three consultancy (see Chapter 4). The five types of situations are:

1. the expert as a provider of information
2. the expert as advocate

3. the expert as reactor
4. the expert as evaluator
5. the expert as provider of technical services

Each of these roles is discussed in detail below.

The Expert as a Provider of Information

In many instances, an educational institution may be faced with a unique situation or problem about which no information or solution is readily available. In other cases, a wealth of information may be available in print but it still may be more useful to work in an interreactive way with a person who not only has the knowledge but who also can call up the key elements which are most appropriate to a situation. It may be particularly important to ask for and receive immediate responses to specific questions about points which are unclear initially.

Several examples may be helpful. College A is considering adding an engineering program to its curriculum. It would be most useful to obtain the assistance of an expert with experience in the development of such programs in institutions of similar size, mission, and quality to College A. While it may be possible to gain a considerable amount of information from materials provided by accrediting bodies, clarification and discussion of the special problems created by local conditions are needed. At that point, the expert consultant can help his client avoid considerable worry and wasted effort.

College B is preparing a proposal for foundation support of an important new project. In such circumstances it may be useful to tap the expertise of a person who has prepared similar proposals that have received funding, perhaps even from the same funding agent. While one success does not make an expert (and there may even be some danger in simply mimicking the efforts of others), the chances are good that if the success was not a fluke, the assistance of a knowledgeable consultant can be useful.

College C is about to embark on a search for a new dean. The institution may find it useful to draw on the insights and experiences of others who have been through similar processes either as candidates or as members of search committees. This use of the expert consultant may save College C from repeating the mistakes of others.

In situations such as the three described above, in which the client is purchasing the expertise of the consultant, the client must keep several things in mind. First, the consultant selected *will* have a specific point of view on the problem or issue in question. As a result, no matter how hard the consultant tries to be objective in presenting other options or opinions, he most often will end up as an advocate of his personal preferences. To avoid problems resulting from consultant bias, the client may wish to establish and clarify the point of view of the consultant both before and during the consultation.

Second, when selecting a consultant to present information, the client must consider the level of expertise that will be required. Generally the level of expertise will be dictated by the complexity of the problem. For a relatively straightforward consultation, the assistance of a skilled practitioner may be adequate. On the other hand, in an extremely complex situation, the client may wish not only the help of a broadly experienced expert, but also may wish to use several experts representing different viewpoints on the same topic. While this may entail additional expense in the short run, the long-term problems which may be avoided by bringing a variety of possibilities into focus may more than offset the expense.

In considering the level of expertise needed, the client may want to consider specific credentials. As noted in Chapter 5, credentials sometimes make the ultimate difference in the acceptance or rejection of the information presented. Similarly, in specific situations, it may be appropriate to insure that the consultant has the approbation of some external agency. As College A, in the example above, goes through the process of designing its engineering program, it may wish to be sure that the consultant is recommended by the accrediting association with which it is dealing.

A third consideration for the client seeking an expert consultant is the situation in which the consultant will be expected to share his knowledge. If the consultant is expected to present discussion on the merits of a new venture to a large group—e.g., for the faculty meeting as a body—it will be important to consider the consultant's public speaking skills. Nothing can prejudice listeners quite like a dull presentation. On the other hand, if the primary mode of presentation will be conversations with small groups, a different set of skills may be required.

The Expert as Advocate

The expert consultant serving in an advocate role is only one step removed from the expert as presenter of information. The difference is, rather than simply providing information, the advocate is brought in specifically to convince members of the client organization of the need for or appropriateness of some action or program.

The consultant advocate may be required when a sound program has been designed by internal personnel but is unattractive to others within the organization because of the status or stature of the internal advocates. In College D, for example, a group of young faculty generally regarded as upstarts by their senior colleagues have been lobbying for a faculty development program. The administration views such a program as a good idea but is unwilling to risk the wrath of senior faculty by implementing it. At the request of the dean, a senior faculty member with impeccable credentials from a well respected institution appears to speak on behalf of faculty development, and particularly about how the program has been helpful at his institution.

In other situations, it may be helpful to obtain the endorsement of an external consultant before implementing recommendations or suggestions resulting from an evaluation of a project. At College E, the board of trustees appointed a committee of trustees, administrators, students, and faculty to evaluate the student life program. The recommendations of this group were viewed with less than total enthusiasm by the dean of student life until a consultant-advocate who was well respected by the dean not only endorsed the recommendations, but also explained how they could be implemented as a simple continuation of program activities already underway.

Examples of this type of consulting relationship are numerous. Each case, however, has several common elements. A course of action is unacceptable to some segment of a community and it is apparent that without acceptance by that segment, success is impossible. An external figure with the necessary stature, credentials, and experience may be found and invited to work on behalf of the proposed course of action. This use of the expert consultant is often successful. One must keep in mind, however, as in the use of expert witnesses in the courtroom, that the opposing side usually is able to identify and use resources which will support its point of view as well.

The Expert as Reactor

College A has used experts to provide information as it plans its new engineering curriculum and is drawing close to the point of making major implementation decisions. The dean and the chairman of the new program decide that before moving ahead they should obtain an additional outside opinion to ensure that what they are planning is both sound and acceptable to the accrediting body which will review the program. In this situation, the expert consultant will serve as reactor, a slightly different role from that of a simple dispenser or clarifier of specialized information, or of a program advocate.

The consultant still will be expected to deliver information, but the information presented must be applied to the client's specific situation. The consultant is not expected to try to share everything he knows about the topic. Rather, he is expected to be able to draw forth the pertinent elements from his knowledge and experience which will apply to the situation at hand. Does College A's proposed engineering curriculum contain all of the essential elements? Are the learning experiences appropriately sequenced? Will the curriculum be reviewed favorably by the appropriate accrediting body?

In situations in which he serves as a reactor, the consultant is expected to be more selective, perceptive, and responsive than the consultant who is invited simply to present a picture of the state of the art in a particular area. While all assignments require great powers of observation and analysis, as well as tact, those centering on reaction may require higher levels of these qualities than situations calling for a simple overview presentation of a subject area.

When asking for a consultant's reaction, the client must prepare for the consultant in different ways. Not only will the client need to share pertinent information with the consultant prior to the consultation, the client, if he wishes to make the best use of the consultant's expertise, must take steps to insure receptivity to the reactions provided. The client who seeks the services of an expert reactor but is prepared only for reinforcement as opposed to substantial criticism and many suggestions for program improvement may find his dollars poorly invested.

The Expert as Evaluator

The consultant as expert evaluator can be distinguished clearly from the consultant as reactor. The distinction may be cast best in terms of the distinction between summative and formative evaluation. The expert-reactor may be seen as an evaluator functioning in a primarily formative sense. As we discuss the consultant as expert-evaluator in this section, we are leaning toward the summative end of the evaluative continuum.

Many cases require evaluation by an outside expert. Individual programs, special projects, personnel, and even entire institutions may be evaluated in this manner. When it has completed the design and implementation of its engineering program, College A will be evaluated by one or more accrediting agencies that will use expert-evaluators as members of a visiting team. When College B completes the work which has been underwritten as a result of its successful foundation proposal, the institution will be required to submit an unbiased external evaluation as a condition for completing its report to the foundation. College C, as it works through the process of selecting its new dean, may wish to ask an external evaluator to serve as an initial reviewer of the credentials of the candidates for the position. In each of these cases, the institution does not have a sufficiently objective person on the staff or the requirements of some external agency have mandated an external evaluation.

Whatever the reason for the decision to seek an external expert-evaluator, the consultant-evaluator must have skills similar to those required of the consultant-reactor, and in some cases, other skills as well. The consultant must have a solid grounding not only in the subject matter being evaluated but also in the methodology of evaluation design. The consultant must be aware of his own biases in areas where more than one legitimate way of doing things exists. The consultant also must be able to isolate the significant elements in what he observes so that the ultimate evaluation is thorough while at the same time focused and uncluttered by insignificant or distracting details.

In addition to the types of evaluation mentioned earlier, which, even though they may be mandated by external agencies, are primarily internal in nature, there are evaluations with external focuses and impacts. A feasibility study done for a college in preparation for a major fund-raising effort is a special case in point. In such cases, because the validity of the information obtained and reported will depend on the consultant's sense of propriety and guarantee of confidentiality, discretion is another critical facet of the consultant's personality.

The Expert as Provider of Technical Services

Although the consultant who provides specific services bears similarities to all of the other types of consultation identified in this chapter, sufficient differences exist to justify separate treatment. Instead of sharing general or specific information or using that information to promote a position or evaluate an activity, this consultant enters the system, carries out an action (as opposed to helping others do it or learn to do it), and leaves. The example of the consultant who conducts a feasibility study for a fund-raising effort mentioned in the previous paragraph is a case in point. In fact, there might well be considerable discussion as to whether that example belongs with evaluation or with provision of technical services. The point here is that the external resource person actually does the work. He gathers the information, prepares a report, and then departs.

College X may have decided to purchase a new computer and, as a result, is in the market to purchase software to accomplish a variety of activities. The institution may retain a consultant whose sole task is to install the necessary software in the system. College Y may wish to have a particular management training program presented for its middle-management group. It retains a consultant with specific expertise in the training program. The consultant comes in, performs the training function (particularly when the training program is a basic, packaged approach), and departs.

In this type of consultation, the expert is not expected to *share* his knowledge, rather, he is expected to *use* it to accomplish a specific predetermined task. Thus he will be selected and ultimately evaluated not in terms of his knowledge specifically but rather in terms of his ability to use his knowledge to do something. This is a critical distinction because many who have theoretical expertise may not be able to "do" in the practical sense. Conversely, a number of very effective "doers" may be found lacking when asked to transmit the knowledge which is the foundation of their "doing."

The importance of problem definition on the part of the client becomes an especially critical part of the process of planning for consultation. Many times a client who does not give sufficient thought to the nature of his problem ends up with a consultant who is a provider of information when what is really needed is a consultant who can actually perform specific services. When the exact opposite occurs, the level of frustration can be just as high.

As we noted at the beginning of this chapter, the five categories outlined in the preceding pages are admittedly arbitrary and certainly are not mutually exclusive. Actual consulting situations are complex and require a variety of skills on the part of the expert consultant. As he reflects on his needs, the client may wish simply to use these categories as frames of reference.

If, however, the proposed consultation seems to fit best into one or more of these categories, as opposed to those described in the next chapter, the reader may find it appropriate to reflect on some of the special concerns which both clients and consultants must address if the expert consultation is to be as productive as possible.

Structuring the Work of the Expert Consultant

There is no doubt that in some quarters expert consultants are suspect or, as William Bergquist suggests, they "start with two strikes against them." In *Designing Teaching Improvements Programs*, he points out:

> External consultants often "start with two strikes against them." Many faculty and administrators negatively react to outside experts—especially if the expert offers "instant or pet solutions," "says nothing new" or is not "successful in actually doing what he/she encourages others to do." One particularly disillusioned practitioner at a CASC college noted that most consultants "come to learn from us . . . then go back and write their books or get paid to talk about our successes and problems at other places."
>
> Consultants play many different roles. Perhaps the most frequently filled role is that of the external expert. In the CASC colleges, two quite different conclusions were reached by respondents concerning the use of the consultant as expert. Several OCC's [On-Campus Consultant/Trainees] argued for the early use of the expert or advice-giver. Such a person can help in the planning process and can establish credibility for an idea or program activity. Conversely, a consultant may be of use to a campus "only after a [high] degree of mutual learning and trust has been reached." In general, it appears as if a consultant as expert will be most effective if:

> 1) he comes from a similar type of liberal arts college (making the inter-campus exchange programs particularly valuable), 2) he has been given sufficient time to learn about the campus before becoming an active resource, and 3) he is being "legitimately" brought in to offer new ideas and insights, rather than to confirm the opinions of those bringing him in.[1]

With these caveats clearly in mind, the client and the expert consultant can do a number of things to help insure that consultation will not be hampered by these or similar concerns. First, it is essential that a step-by-step process such as the one outlined in Chapters 2 and 3 be carefully followed. In addition to such general procedures, however, other steps can be taken. These are listed and explained below.

Defining the Consultancy

It is not enough for a client, in the course of defining the need for external assistance, to decide simply that a particular situation requires the assistance of an "expert." To select the best resource person for a particular purpose, the client must go a step or two further and define exactly what he wishes the expert to accomplish.

In determining the expertise required, the potential client may find the five categories mentioned earlier in this chapter useful. But just as it is unlikely that a relationship will fit clearly into one of the three major consulting models mentioned in Chapter 4, so also it is often impossible to fit the expert consultation neatly into one expert category. It may be useful to specify each objective of the consultation and assign it to one of the categories in an effort to help determine the specific types of expertise which will be required. Only when this has been done carefully can the client make the best choice of a source of assistance.

Selecting an Expert Consultant

There are experts and there are experts. While each of the five types of expert consultant mentioned earlier requires expertise in the subject matter under consideration, there is a continuum among them with respect to other essential skills. The continuum ranges from the skills needed by the expert who must make a major formal presentation or interact heavily with the public to those needed by a consultant who is required to design and install a computer program to accomplish a set of carefully predetermined designs. In the former case, the consultant's perceived expertise may be diminished considerably in the eyes of the client if he is unable to present ideas clearly and persuasively in a public setting such as a workshop or institute. Similarly, if the consultant's role requires him to meet with important people outside the college to conduct a feasibility study for a fund-raising campaign, the person selected must have presence and interpersonal skills which will reflect well on the client. In the case of the computer programmer, these skills may be less important. In summary, it is one thing to be able to share expertise and another to simply put it to use.

Establishing the Consultant's Authority

To have expertise or to be an authority is one thing. To demonstrate expertise in a credible manner or to establish authority effectively is another. This is a matter of critical concern both for the client and the consultant if an "expert" consultancy is to be as useful as possible.

The entry of the consultant into a situation is a critical point in achieving success (see also Chapter 2). Entry for the expert may begin long before he actually arrives at the institution. Both the client and the consultant must reflect carefully on the situation to determine how much resistance, if any, an expert is likely to encounter and to try to analyze the possible sources of that resistance. Consultants who work principally in process areas such as those described as Models Two and Three in Chapter 4 tend, by the nature of their work, to be sensitive to entry issues. Expert consultants, *especially* those who are less experienced, may make critical errors here which will have great impact on their overall success.

For some clients, academic credentials may be extremely important in establishing credibility. A consultant whose academic background is perceived as inferior to that of his clients may be suspect. Therefore, a client coordinator preparing for a presentation on faculty development at his institution will make certain first that the consultant has acceptable credentials and then will take steps to insure that those with whom the consultant will be working are aware of those credentials. This may mean distributing a brief biographical sketch of the consultant prior to the workshop or arranging for key people—i.e., those most concerened with the undertaking—to meet with the consultant or even participate in the selection process.

In other cases, formal academic credentials (or the institution from which the credentials were earned) may be less important than a clear record of accomplishment. Here, the basic entry work may involve the circulation of testimonial material describing the consultant's *actual* accomplishments.

When the consultant *actually* enters the situation, it is important that he keep in mind the fact that preparation and appearance are both important to the establishment of his authority. A consultant with great skill who is obviously unprepared, whose appearance is offensive, or whose remarks are irrelevant quickly will become suspect. The consultant must take special pains to determine where the client organization stands with respect to the issue on which the consultation centers. To miss the client's need by being either too simplistic or "over the client's head" has great potential for diminishing the consultant's impact. This is a joint responsibility requiring a great deal of interaction between the consultant and the client to insure that the expertise that is shared is on target.

While much space has been devoted to the importance of establishing authority, it is also important to point out the problems inherent in "overdoing" the establishment of one's skills and experience. Once authority is established, the consultant should move on to the task at hand. The consultant who continues to remind people that he is in fact able to do what he says may turn off even the most excited client. For some expert consultants, the consulting experience may become an ego trip. When this happens, clients are likely to become justly concerned that the consultation may be more beneficial to the consultant's psyche than to the client's needs. Some consultants effectively safeguard against the problem of being carried away by self-importance through making certain that everything that is said and done points to the client's specific needs.

Closely related is the care that the expert consultant must take to not talk down to the client. This is distracting, at best, and, in its worst manifestations, may produce the dissatisfied client who can say that " 'consultants come to learn from us then go back and write their books.' "

The Effective Expert

Much of what has been said above speaks to the need for expert consultants to be responsive to their clients. The sensitive expert also will be aware of human needs as well as institutional differences. The very presence of an expert may be seen as threatening to those who may have established internal reputations or expertise. The expert consultant should be careful to avoid situations in which the local expert will lose face. Usually, needed suggestions for improvement can be rooted in the work of the local expert. "If you will only build upon your work in this area and do this and this, you can strengthen your system." Such a statement is far more likely to be well received, and results are more likely to be accomplished, than when the consultant says, "If you just keep doing things the way you are now, you can never expect your system to work."

Unfortunately, a number of consultants manage to earn reputations as being solutions in search of problems. An individual who fits this particular description often has built his reputation based on one particular accomplishment. If the client's situation is a carbon copy of that situation, the consultant will be extremely successful. If the situation differs, however, and the consultant attempts to apply a pat formula, the results often will be unsatisfactory. The successful expert will understand and be able to propose a wide variety of adjustments based on an individual situation and will be well served if he can point out the differences and the reasons for the alterations. This may be particularly appropriate when the client fails to see the differences himself and believes "if my institution could only have a system just like the one that the consultant installed at institution X, our problem would be solved."

Finally, the sensitive consultant will do as much as possible to individualize suggestions. One consultant, reponding to a criticism that the report requested by the client consisted of nothing but a number of printed articles and other materials, brushed the criticism aside by saying that if the client knew anything, he would be able to see the wonders included in the materials. The careful, sensitive *client* would take the time to prepare a report which might reference the applicable sections of the printed materials and show how they apply to the situation. The lack of sensitivity at the report stage of the consultation was viewed ultimately by some as seriously weakening the impact of what otherwise might have been a very useful intervention.

Sticking to the Assignment

As has been mentioned elsewhere, some consultants tend to wander from the topic they were retained to deal with and to spend time recounting only marginally relevant successes to meet their own personal needs. Another type of departure may appear to be the same but it has different roots and must be avoided just as studiously.

As noted, the expert consultant may be viewed by some with whom he works as a threat to prestige. One way to prevent such adverse effects is for the client to distract the consultant from the topic at hand. The situation is akin to that of students in a classroom who take delight in leading the professor away from the topic scheduled for discussion into some pet area of interest to the professor. The teacher who responds to this sort of flattering attempt at diversion whether it be as a result of ego needs or his own boredom with the subject matter, really does the student no service. Like the wise professor, the expert consultant continually must bring the client who is trying to draw him away from the task for which he is being paid back to the subject at hand. To do anything less would seem to be a breach of the consulting agreement.

Clients Are Not For Using

Unfortunately, the complaint of the disgruntled client cited earlier—' "Consultants come to learn from us . . . then go back and write their books' "—while not universal, is more common that it should be.

There are certainly some situations in which the behavior criticized is perfectly legitimate. Individuals, whether on their own or as part of an organizational effort, are involved in gathering information which, in fact, may result in publications or studies which are disseminated to others. In such situations, it is common for the researcher to request permission to visit a campus. It is also common for people involved in such information gathering efforts to be described as consultants by the persons coordinating the visits. In fact, if the person is known to have expertise, the sharing of that knowledge in a sort of consulting role may be a perfectly legitimate *quid pro quo* for being allowed to visit the campus in question to collect information. The problem comes when there is a lack of clarity about the purpose of the visit.

If the visiting expert is presented to the client institution's personnel as one who is visiting as a consultant who will share expertise when such sharing is only one, and perhaps a secondary, purpose of the visit, it is not surprising that those who view the consulting role as primary will be disgruntled when it becomes obvious that the person is really collecting information for another purpose. Therefore, it is essential that the person coordinating the visit as well as the consultant-data collector, make the purpose of the visit clearly understood. Usually, in such situations, the person who is visiting is not being paid by the host institution and therefore has a limited obligation.

The problem comes, however, when a consultant has been contracted by the institution and then uses the opportunity for another purpose. This is not to say that the consultant will not share his knowledge gained from a particular consultation in other endeavors. Nor is it to say that in some way or another that knowledge will not appear in a publication (respecting, of course, the legitimate right of the client to anonymity). It is essential only that the expert not be interested primarily in collecting information for some other purpose when his services have been retained to help the client achieve the client's purposes.

Summary

The expert consultant plays a legitimate and important role for his client. If success is to be insured, however, the client must define carefully the expertise needed and the situation in which it will be used. The consultant must work to ensure that his expertise will be credible and accepted while not creating circumstances in which effectiveness will be lessened or even destroyed. When client and consultant join together to ensure that the arrangements are made properly, the expert consultant can provide a valuable service to the client. If this is not done, the consultation may be less useful and even counterproductive. Analysis of the situation in light of the preceding paragraphs can provide client and consultant alike with the opportunity to ensure a useful and happy experience.

References

[1] William H. Bergquist in Jack Lindquist, ed., *Designing Teaching Improvement Programs* (Washington, D.C.: Council for the Advancement of Small Colleges, 1978), p. 61.

Document 6-1

Title: Categories of Collegiate Consultation

Source: Daniel H. Pilon and William H. Bergquist

General Description:

This document was designed originally to serve a variety of purposes. It was intended to give prospective consultants a framework within which to categorize their expertise. It was also intended to provide the CASC National Consulting Network staff with a system for storing and recalling information about members of the Network's cadre of resource persons. Finally, the categories were intended to help prospective clients sort their thoughts and concerns prior to contacting the Network for assistance.

It should be noted that this document is in a continuing state of evolution. As topics come up which do not fit easily into one of the existing subdivisions, new divisions are added. The document which follows reflects the activity of the CASC National Consulting Network from 1976 to 1978.

Categories of Collegiate Consultation

Resource Codes

Code#			
1-0			**Instructional Procedures**
	1-01		Curriculum Development
		1-01.01	General
		1-01.02	Core Curricula/General Education
		1-01.20	Miscellaneous
	1-02		Course Design
		1-02.01	General
		1-02.02	Competency-Based
		1-02.03	Contract-Based
		1-02.04	Student-Centered
		1-02.05	Field Work-Based
		1-02.06	Experienced-Based
		1-02.20	Miscellaneous
	1-03		Course Evaluation
		1-03.01	General
		1-03.02	Outcome Measures
		1-03.03	Student Evaluation
		1-03.04	Peer Evaluation
		1-03.05	Self-Evaluation
		1-03.06	Evaluation of Faculty by Administrators
		1-03.20	Miscellaneous
	1-04		Instructional Methods: Lecture-Based
		1-04.01	General
		1-04.02	Methods for Starting a Lecture
		1-04.03	Methods for Closing a Lecture
		1-04.04	Use of Audio-Visual Techniques in Lecturing
		1-04.05	Use of Discussion Generating Devices in Lectures
		1-04.06	Use of Questioning Techniques in Lecture Setting
		1-04.20	Miscellaneous
	1-05		Instructional Methods: Discussion-Based
		1-05.01	General
		1-05.02	Expert-Led Panel Presentations
		1-05.03	Student-Led Panel Presentations
		1-05.04	Teacher-Led Seminars
		1-05.05	Student-Led Seminars
		1-05.06	Peer-Learning Groups
		1-05.20	Miscellaneous
	1-06		Instructional Methods: Non-Traditional
		1-06.01	Simulations and Instructional Games
		1-06.02	Role-Playing by Instructor
		1-06.03	Role-Playing by Students
		1-06.04	Case Histories
		1-06.20	Miscellaneous

1-07		**Instructional Technologies: Audio-Visual**
	1-07.01	Motion Pictures
	1-07.02	Still Photos and Displays
	1-07.03	Television
	1-07-04	Audio-Tutorial
	1-07-05	Multi-Media Presentations
	1-07.20	Miscellaneous
1-08		**Instructional Technologies: Computers**
	1-08.01	Computer-Assisted Instruction
	1-08.02	Computer-Based Simulations
	1-08.03	Sources of Computing Capability
	1-08.20	Miscellaneous
1-09		**Instructional Techniques: Programmed-Instruction**
	1-09.01	Programmed Textbooks
	1-09.02	Teaching Machines
	1-09.20	Miscellaneous
1-10		**Testing of Students**
	1-10.01	Miltiple-Choice Questions and Tests
	1-10.02	True-False/Matching/Fill-in Questions and Tests
	1-10.03	Short Answer/Essay Questions and Tests
	1-10.04	Skills Testing
	1-10.20	Miscellaneous
1-11		**Student Grading and Crediting**
	1-11.01	Pass-Fail Grading Systems
	1-11.02	"Non Punitive" Grading Systems
	1-11.03	Competency-Based Grading
	1-11.04	Portfolio Evaluation
	1-11.05	Self-Grading Systems
	1-11.06	Credit-for-Life-Experiences
	1-11.20	Miscellaneous
1-12		**Student Work and Travel Experience Programs (see also Special Clienteles)**
	1-12.01	Cooperative Programs
	1-12.02	Field Experience
	1-12.03	On-Campus Work Programs
	1-12.04	Foreign Study Programs
	1-12.05	Internship
	1-12.20	Miscellaneous

2-0 **Instructional Content**

2-01		Environmental Studies
	2-01.01	Ecology
	2-01.02	Energy
	2-01.03	Pollution
	2-01.04	Population
	2-01.20	Miscellaneous

2-02		**Area Studies**
	2-02.01	East Asian Studies
	2-02.02	Southeast Asian Studies
	2-02.03	South Asian Studies
	2-02.04	African Studies
	2-02.05	Russian and East European Studies
	2-02.06	Middle Eastern and Islamic Studies
	2-02.07	Latin American Studies
	2-02.08	Pacific Area Studies
	2-02-09	West European Studies
	2-02.20	Miscellaneous
2-03		**American Studies**
	2-03.01	General
	2-03.02	Colonial Period
	2-03.03	Revolutionary Period
	2-03.04	Expansionary Period
	2-03.05	Industrial Period
	2-03.06	International Period
	2-03.07	Post-Industrial Period
	2-03.08	Contemporary
	2-03.20	Miscellaneous
2-04		**Community Planning and Development**
	2-04.01	Urban Planning & Development
	2-04.02	Rural Community
	2-04.03	Regional Planning
	2-04.04	Community Services: General
	2-04.05	Public Administration
	2-04.20	Miscellaneous
2-05		**History of Western Ideas**
	2-05.01	Survey of Western Civilization
	2-05.02	Classical Thought
	2-05.03	Middle Ages/Renaissance
	2-05.04	Modern Western Civilization
	2-05.05	Contemporary Western Civilization
	2-05.20	Miscellaneous
2-06		**Interdisciplinary Studies**
	2-06.01	Humanities and Physical Sciences
	2-06.02	Humanities and Biological Sciences
	2-06.03	Humanities and Social Sciences
	2-06.04	Physical and Biological Sciences
	2-06.05	Liberal Arts
	2-06.06	Social Science
	2-06.20	Miscellaneous
2-07		**Individual Disciplines**
3-0		**Instructional Clientele**
3-01		**Ethnic and Socio-Economic Groups**
	3-01.01	Black Students

		3-01.02	Spanish-Speaking Students
		3-01.03	Asian-American Students
		3-01.04	American Indian Students
		3-01.05	Lower Class/Lower Middle Class Students
		3-01.20	Miscellaneous
	3-02		**Adult Students**
		3-02.01	Blue Collar Workers
		3-02.02	High School, Diploma-less Adults
		3-02.03	Mid-Career Transition Adults
		3-02.04	Unemployed Adults
		3-02.05	Elderly Students
		3-02.20	Miscellaneous
	3-03		**Special Population Groups**
		3-03.01	College Dropouts
		3-03.02	Early Entrants
		3-03.03	Foreign Students
		3-03.04	First Generation College Students
		3-03.05	Low Achievers
		3-03.06	Physically Handicapped
		3-03.07	Prisoners
		3-03-08	Rural Students
		3-03.09	Servicemen and Women
		3-03.10	Veterans
		3-03.11	Commuters
		3-03.12	Honors Students
		3-03.13	Freshman Programs
		3.03.20	Miscellaneous
	3-04		**Women and Families**
		3-04.01	College Age Women
		3-04.02	Mature Women
		3-04.03	Couples
		3-04.04	Family
		3-04.20	Miscellaneous
4-0			**Academic Support**
	4-01		**Libraries**
		4-01.01	General Support Operations
		4-01.02	General Production Services (Audio-Visual)
		4-01.03	Cataloging
		4-01.04	Circulating Services
		4-01.05	Special or Names Collections
		4-01.20	Miscellaneous
	4-02		**Museums and Galleries**
		4-02.01	General Support Operations
		4-02.02	General Production Services
		4-02.03	Acquisitions
		4-02.04	Displays and Exhibits
		4-02.05	Special or Named Collections
		4-02.20	Miscellaneous

4-03	**Audio-Visual Services**
4-03.01	General Support Operations
4-03.02	General Production Services
4-03.03	Art Services
4-03.04	Audio Services
4-03.05	Motion Picture Services
4-03.06	Still Photo Services
4-03.07	Television and Video Services
4-03.20	Miscellaneous
4-04	**Computer Services**
4-04.01	Systems Maintenance and Development
4-04.02	Systems Analysis and Programming
4-04.03	Computer Operations
4-04-04	Data Preparation
4-04.20	Miscellaneous
5-0	**Student Services**
5-01	**Student Development**
5-01.01	Student Activities
5-01.02	Cultural Events
5-01.03	Student Organizations
5-01.04	Recreation
5-01.05	Intramural Athletics
5-01.20	Miscellaneous
5-02	**Supplementary Education Service**
5-02.01	Remedial Reading
5-02.02	Advanced Reading
5-02-03	Remedial Writing
5-02.04	Remedial Mathematics
5-02.05	Study Habits
5-02.20	Miscellaneous
5-03	**Therapeutic Counseling**
5-03.01	Individual
5-03.02	Small Groups
5-03.03	Crisis
5-03.04	Substance-Abuse
5-03.20	Miscellaneous
5-04	**Academic and Vocational Advising**
5-04.01	Academic Advising
5-04.02	Vocational Advising
5-04.03	Financial Advising
5-04.04	Peer Advising Programs
5-04.05	Student Learning Styles
5-04.20	Miscellaneous
5-05	**Grievance Counseling**
5-05.01	Legal Aid: General
5-05.02	Consumer-Advocate
5-05.03	Affirmative Action: General

		5-05.04	Affirmative Action: Women
		5-05.05	Affirmative Action: Ethnic Minorities
		5-05.06	Affirmative Action: Other Minority Groups
		5-05.20	Miscellaneous
	5-06		**Special Group Counseling**
		5-06.01	Ethnic-American Advising
		5-06.02	International Student Advising
		5-06.03	Specialized Advising Programs
		5-06.04	Veterans Advising
		5-06-05	Advising of Handicapped
		5-06.06	New Student Orientation Programs
		5-06.20	Miscellaneous
	5-07		**Developmental Counseling**
		4-07.01	Life Planning
		5-07.02	Personal Growth Workshops
		5-07.03	Interpersonal Skills Training
		5-07.04	Leadership Training
		5-07.05	Meditation/Bio-Feedback
		5-07.20	Miscellaneous
	5-08		**Student Financial Aid**
		5-08.01	Federal Grants
		5-08.02	State and Municipal Grants
		5-08.03	Grants from Private Sources
		5-08.04	General Administration
		5-08.20	Miscellaneous
	5-09		**Student Career Development/Placement**
		5-09.01	General Administration
		5-09.02	Job Recruitment
		5-09.03	Job Referral
		5-09.20	Miscellaneous
	5-10		**Campus Ministry**
	5-11		**Campus Security**
6-0			**Institutional Support**
	6-01		**Executive Operations**
		6-01.01	Governing Boards
		6-01.02	Chief Executive Officers
		6-01.03	Attorney
		6-01.04	Dean
		6-01.05	Business Officer
		6-01.06	Development Officer
		6-01.07	Student Services Dean
		6-01.08	Department/Division Chairperson
		6-01.20	Miscellaneous
	6-02		**Fiscal Operations**
		6-02.01	Fiscal Control

	6-02.02	Investments
	6-02.03	Accounting
	6-02.04	Bursar/Cashier
	6-02.05	Contracts and Grants
	6-02.06	Payroll
	6-02.07	Audits
	6-02.08	Financial Reporting
	6-02.20	Miscellaneous
6-03		**Administrative Operations**
	6-03.01	Administrative Data Processing
	6-03.02	Central Files
	6-03.03	Space Management
	6-03.20	Miscellaneous
6-04		**Student Admissions and Records**
	6-04.01	Undergraduate Admissions
	6-04.02	Special Admissions and Evaluation
	6-04.03	Registration
	6-04.04	Student Records
	6-04.05	Publications
	6-04.20	Miscellaneous
6-05		**Student Recruitment and Retention Programs**
	6-05.01	General Operations
	6-05.02	Special On-Campus Recruitment Events
	6-05.03	High School Visitation
	6-05.04	Special Student Recruitment
	6-05.05	Publications
	6-05.06	Retention Programs
	6-05.20	Miscellaneous
6-06		**Employee Personnel Management**
	6-06.01	Recruitment of Staff
	6-06.02	Benefits
	6-06.03	Employee Records
	6-06.20	Miscellaneous
6-07		**Campus Safety**
	6-07.01	Campus Security
	6-07.02	Fire Protection
	6-07.20	Miscellaneous
6-08		**Logistical Operations**
	6-08.01	Management of Supplies
	6-08.02	Storage and Maintenance of Supplies
	6-08.03	Mail and Distribution
	6-08.04	Telephone
	6-08-05	Reproduction
	6-08.06	Transportation
	6-08.20	Miscellaneous
6-09		**Maintenance and Physical Plant**
	6-09.01	Utility Plant
	6-09.02	Building and Grounds Maintenance
	6-09.03	New Building Planning and Design

	6-09.04	Landscaping
	6-09.20	Miscellaneous
6-10		**Food Services**
	6-10.01	General Administration
	6-10.02	Sub-Contracting
	6-10.20	Miscellaneous
6-11		**Health Services**
	6-11.01	General Administration
	6-11.20	Miscellaneous
6-12		**Housing Services**
	6-12.01	General Administration
	6-12.02	Facilities
	6-12.20	Miscellaneous
6-13		**Retail Services and Concessions**
	6-13.01	General Administration
	6-13.20	Miscellaneous
6-14		**Alumni Relations**
	6-14.01	Alumni Office
	6-14.02	Alumni Publications
	6-14.03	Alumni Club
	6-14.20	Miscellaneous
6-15		**Community Relations**
	6-15.01	Commencement
	6-15.02	Public Relations
	6-15.03	News Service
	6-15.20	Miscellaneous
7-0		**Institutional Development**
7-01		**Situational Assessment**
	7-01.01	Assessment of Administration
	7-01.02	Assessment of Staff
	7-01.03	Assessment of Faculty
	7-01.04	Assessment of Students
	7-01.05	Assessment of Alumni
	7-01.06	Assessment of Trustees
	7-01.07	Assessment of Community
	7-01.08	Assessment of Total Institution
	7-01.09	Assessment of Mission
	7-01.20	Miscellaneous
7-02		**Institutional Planning and Research**
	7-02.01	Institutional Planning Systems - Long Range
	7-02.02	Institutional Planning Systems - Tactical
	7-02.03	Institutional Research - General
	7-02.04	Institutional Research - Forms and Instruments
	7-02.05	Institutional Research - Data Analysis & Handling
	7-02.06	Campus Land Use Planning

	7-02.20	Miscellaneous
7-03		**New Program Development**
	7-03.01	Needs Assessment/Market Research
	7-03.02	New Program Evaluation
	7-03.03	Planning of Activities
	7-03.04	Planning Processes
	7-03.05	Long Range Planning
	7-03.06	Market Research
	7-03.20	Miscellaneous
7-04		**Resource Acquisition**
	7-04.01	Fund Rasising
	7-04.02	Grantsmanship
	7-04.03	Volunteer Community Assistance
	7-04.04	Development Office
	7-04.05	Annual Fund Programs
	7-04.06	Capital Fund Drive
	7-04.07	Deferred Giving Program
	7-04.20	Miscellaneous
7-05		**Resource Allocation**
	7-05.01	Program Budgeting
	7-05.20	Miscellaneous
7-06		**Professional Development: General**
	7-06.01	Communication
	7-06.02	Problem Analysis
	7-06.03	Problem Solving
	7-06.04	Decision Making
	7-06.05	Conflict Management
	7-06.06	Helping Skills
	7-06.07	Leadership
	7-06.20	Miscellaneous
7-07		**Administrative Development**
	7-07.01	Delegation and Supervision
	7-07.02	Recruitment and Selection
	7-07.03	Evaluation and Compensation
	7-07.20	Miscellaneous
7-08		**Faculty Development**
	7-08.01	Classroom Observation and Diagnosis
	7-08.02	Training in the Use of Traditional Methods: Lecture and Discussion
	7-08.03	Training in the Use of Nontraditional Methods
	7-08.04	Discussions About Teaching
	7-08.20	Miscellaneous
7-09		**Other Types of Specialized Professional Development**
	7-09.01	Trustees
	7-09.02	Alumni
	7-09.03	Secretarial/Clerical
	7-09.04	Professional Counseling
	7-09.05	Paraprofessional Counseling

	7-09.20	Miscellaneous
7-10		**Organizational Development**
	7-10-01	Team Interventions
	7-10.02	Intergroup Interventions
	7-10.03	Total Organizational Interventions
	7-10.04	Group Process Intervention
	7-10.05	Action-Research
	7-10.20	Miscellaneous
7-11		**Personal Development**
	7-11.01	Life and Career Planning
	7-11.02	Personal Growth
	7-11.20	Miscellaneous
7-12		**Institutional Governance**
	7-12.01	Administrative Involvement
	7-12.02	Faculty Involvement
	7-12.03	Student Involvement
	7-12.04	Staff Involvement
	7-12.05	Trustee Involvement
	7-12-06	Alumni Involvement
	7-12-07	Community Governance
	7-12.20	Miscellaneous
7-13		**Collective Bargaining**
	7-13.01	Faculty Code
	7-13.20	Miscellaneous

Codes 11.0 - 19.0 **Inter-Institutional Programs**

Note: Includes Consortia, Regional Programs and other voluntary inter-institutional arrangements.

Note: Most Inter-Institutional Programs can be classified on the basis of the same categories that describe intra-institutional programs. The inter-institutional nature of the program is indicated by a program area number between 11 and 19. For example, *Intra*-institutional faculty development programs are classified as 7.08.xx; *Inter*-institutional programs, e.g. consortia-based programs would be classified as 17.08.xx. Similarly, an instructional program that is competency-based and has been developed within a college is classified as 1.02.02, whereas, a competency-based program that has been developed cooperatively by several colleges would be classified as 11.02.02.

THIS IS A WORKING DOCUMENT. YOUR SUGGESTIONS FOR ADDITIONAL ITEMS WILL BE CONSIDERED FOR INCLUSION IN FUTURE REVISIONS. SEND THEM TO: **DIRECTOR, NATIONAL CONSULTING NETWORK, AT CASC'S WASHINGTON OFFICE.**

CHAPTER 7

Training

Training Programs and Activities

In large measure, those who find themselves in consulting roles, particularly those in higher education whose consulting efforts are done on a part-time basis, have shared a common entry to the role of consultant. They have developed expertise in a particular subject or technical area and are invited (and assumed to be able) to share it. They achieve whatever consulting skills they may possess through on-the-job training either by watching others or, more commonly, simply by plunging into the enterprise. Many clients and consultants have found that skill or expertise in a particular area do not guarantee success as a consultant. Also, recognizing the need for external assistance does not insure that the client will use the consultant effectively.

This chapter discusses methods of training both consultants and clients. While much of what we will suggest may be addressed to formal training programs, many of the exercises and instruments can be used by individuals or small groups who wish to prepare themselves for consulting roles. Formal training programs might be used in a number of instances: by organizations preparing a cadre of consultants to serve member needs such as accrediting organizations preparing persons to make pre-accreditation visits; by consulting firms that wish to develop formalized training programs for new staff members; by colleges wishing to develop a group of internal consultants in an area like faculty development; or by those who conduct training programs in an area such as management systems who wish to help their trainees be more effective when they return to their home setting.

The suggested activities for clients might be used by institutions which have received major outside funding for projects which will involve extensive use of consultants coordinated by many persons throughout the organization. Client training workshops also might be offered by funding agencies (especially government agencies and foundations) which support projects involving the use of external consultants by grantees.

This chapter is organized into two major sections. The first deals with the key elements in a training program for consultants. The second considers activities which will be useful in the training of potential client groups.

Training Consultants

As noted earlier, many believe that having expertise in a particular area virtually guarantees that the person possessing the expertise will be an effective consultant. Experience has proven this often not be true. At the same time, however, persons interested in becoming consultants generally have had nowhere to turn for training other than the literature and, in some cases, activities designed for other purposes, such as the preparation of counselors and similar professionals. The bulk of literature about consulting has been aimed toward management consultants and has involved training in skills which are related primarily to specific activities within this area. The following pages draw on the best from the literature of consulting and other forms of interpersonal activity training programs, the authors' own work as consultants, and our experience in training consultants to work in college and university settings.

Training may include several discrete content areas. There is certainly a need to communicate basic knowledge about consulting styles, purposes of consultation, ethical considerations, preparation of reports, and the like. There is also a need to help the consultant reflect on his own interpersonal styles, strengths, and weaknesses. Finally, there is a need for the neophyte consultant to gain consulting experience in a supportive environment.

Much of the material contained in this volume can be used for formal didactic presentations about consultation. In small discussion groups, trainees often are requested to reflect on their basic assumptions about consultation. Neophyte consultants learn that there are alternatives to the traditional model of "consultant as expert" and that various situations require equally varied approaches to consultancy.

Case studies can be used in conjunction with presentations designed to broaden trainees' knowledge of several consulting approaches. Trainees participate by reflecting on the information contained in the case studies and proposing the consulting model which seems to achieve the results most appropriate to the situation. The cases employed should be understandable but sufficiently complex to allow for a variety of opinions. If these cases are worked through by small groups, and results are compared in plenary sessions, fruitful discussion of the analyses is possible. *Document 1-1* may be used to accompany discussions and case studies on consulting styles.

In conjunction with a thorough knowledge of consulting mechanisms, the consultant in training must be brought into contact with his own interpersonal style. The authors have used several devices which assist in self-analysis, while generally making the experience as personally non-threatening as possible. Several standardized self-scoring instruments can be used. One is FIRO-B, published by Consulting Psychologists Press, Palo Alto, California.[2] This instrument allows a neophyte consultant to examine the priority he gives to three central interpersonal needs: inclusion, control, and affection. The instrument is self-administered and scored. The trainer then provides general analytic comments about the meaning of various combinations of scores, as well as the theory that underlies this instrument.[3] Another useful instrument is the "Change Agent Questionnaire" based on "Managerial Grid" concepts originally developed by Robert Blake and Jane Mouton and expanded by Jay Hall and his colleagues.[4] The consultant-trainee is able, with the help of this instrument, to indicate his preferences regarding each of five different dimensions of consultation.

Using the results of these and similar instruments, the trainers enable newcomers to consulting to pinpoint possible problem areas. It is useful, for example, for a person who has a strong need to be in control of situations to prepare for difficulty if he is required to participate in the rather open-ended mode of consultation we describe in Models Two and Three in Chapter 4. Similarly, a person who has a high need for acceptance may have difficulty serving as an evaluator in a situation where it is necessary to be the "bearer of bad tidings." Numerous examples may be given in the course of a session relating interpersonal needs to various consulting modes.

Armed with some knowledge of general consulting styles and some reflective analysis of interpersonal needs and style, it is useful to provide the neophyte consultant with opportunities to sharpen interpersonal skills. A number of exercises that are contained in the two volumes of *A Handbook for Faculty Development* may be useful in this regard. The paraphrasing exercise,[5] for example, has proven useful. The trainers should provide a demonstration of this technique before trainees are asked to do the exercise. Another helpful exercise is the "Helping Trio" contained in *Volume 1*. This activity enables each member of a triad to alternate in playing the roles of client, consultant, and observer. During the exercise, the "client" presents a real (though implied) problem or concern. The "consultant" then helps to clarify the problem and, if appropriate, assist in its solution. The observer periodically comments on the type of helping behavior he observes, as well as its consequences.

Introspective instruments and training exercises can be combined to emphasize the need and provide the tools to strengthen interpersonal skills. Particular attention should be given to communicating and helping skills. Without expertise in these areas, a consultant will remain a simple disseminator of information and often will be unable to meet the needs of future clients. The consultant also must understand the stages through which consultants typically move, however, and the techniques which can be used at critical points in the consulting process.

A training program should cover the following technical areas:

1. Entry into the consulting setting
2. Contracting and client information
3. Time management
4. Ethics of consultation
5. Report writing
6. Self and client evaluation

While all of these items are touched on to some extent in this handbook, as well as in a number of other articles on effective consultation, nothing can substitute for exposure to real or simulated consulting experiences. In addition to providing instructional presentations on various stages of consultation, the authors' training efforts usually have included simulated or sheltered experiences, which place the neophyte consultant in a supportive though challenging environment.

Many training simulations require the construction of carefully designed cases. The trainers may design the cases to suit the special interests of a specific group of trainees if they are preparing for similar assignments. For example, if the trainees are all preparing to work in the faculty development area, it is easy to design cases which deal with faculty development issues. Similarly, when we have trained consultants to work with the CASC Planning and Data System, the cases were oriented to the problems usually confronted by users of that system. When the group of consultant-trainees have no single common area of expertise, it is necessary to develop scenarios which deal more broadly with general higher education or, often, personnel-related issues.

When used in a simulation, the training cases are designed so that the neophyte consultant makes an entry into the situation, clarifies the problem, establishes the identity of the client, and creates a framework for the activity to follow. Trainers do not simply talk about the case (as in traditional case study methodology); many actually "enact" the case. There should be room for less than enthusiastic (and even hostile) reactions by potential clients. It may be useful, if more than one case is used (which we recommend), to design one in which the probable outcome will be a decision by the potential consultant that he simply is unable to help the client.

Case-based simulations can be conducted in a variety of ways. In some instances, the roles of people in the client system are played by members of the training staff. In other instances, these roles are played by trainees who have been given a copy of the case study prepared by the trainer. In both instances, trainees serve as two-, three-, or four-consultant teams.

The exercise begins with the clients stating the problem in general terms. After listening carefully, the consultant teams meet separately to plan their strategies for entry into the situation. One consultant team is then asked to work with the clients. The other teams become observers. The trainer allows the process to proceed for approximately five to ten minutes and then intervenes. The other consultant teams, acting now as observers, are invited to comment on what they have seen. If one of the observing teams feels that another approach might be more effective, the exercise is recycled to the beginning, and that group uses the techniques it believes would be more effective. Again, observers are invited to comment on or discuss the effectiveness of the approach. It is useful to ask those staff members who are playing the role of client to react to the way the consultants have dealt with them.

After sufficient discussion has occurred, and the trainer has made comments, additions, or suggestions he feels are necessary, the simulation is allowed to move forward until another break point occurs and further discussion ensues. Trainees try out different approaches, clients react, and trainers comment. Such exercises may last as little as 90 minutes or as long as four or five hours.

When more than one trainer is involved, it is particularly useful to provide several different cases and to encourage participants to rotate through the cases and the trainers since each trainer will bring a different perspective to the activity. Some will emphasize helping skills, others will emphasize consulting methods, still others will draw the attention of the participants to content concerns, particularly when there is a common content focus to the workshop.

Some believe it is useful to begin or conclude simulations with the trainers demonstrating their skills in a simulated situation with trainees serving as clients. If this technique is used, the trainers should give careful consideration to timing. While trainees prefer to see the simulation begin with such a demonstration, there is a tendency on their part to use the trainers' behavior as a model rather than to experiment and learn by doing. If the demonstration is done at the end, however, trainees may resent having been left to wander the wilderness when the "experts" at hand could have saved them a considerable part of the journey. The ultimate decision will depend on the group being trained and the judgment of the trainers. The use of video tape also has been an effective means of helping neophyte consultants see themselves at work with clients.

A second controlled approach for the introduction of neophyte consultants to consulting activity is through mentorships in real-life situations. This may be done in lieu of, or in addition to, the instructional simulation. The mentorship is established by asking the neophyte consultant and the trainer to work together as a team in a real situation. The mentor and the trainee may work together in a variety of ways. In some instances, the trainee will do the bulk of the work while the trainer serves primarily as an observer. In other situations, the trainer may begin the consultation in the role of the primary consultant and gradually shift the responsibility for the activity to the trainee. Either method is useful as long as the trainer remembers that his principal responsibility in addition to service to the client is the development of the neophyte.

The mentor approach to training contains at least one problem. The client may sense the nature of the situation (if it is not openly explained) and may feel that his interests are not being served fully since his situation is being used for training purposes. Skillfully handled, the mentor approach to consultant training can be useful for all three parties—client, trainee, and consultant. If the trainee has been provided with adequate technical knowledge, self-knowledge, and interpersonal skills, the client is receiving the services of two consultants usually for the price of only one.

If one were planning a consulting skills training program and made the fullest use of the suggestions in the preceding pages, the effort probably would resemble a semester-long learning experience. Indeed, spreading the learning over a substantial period of time, in moderate doses and with ample time for absorption, would be ideal. In the real world, however, it more often is necessary to compress the experience. This is especially true when the consultant training must be coupled with some other sort of technical preparation.

When a workshop must be brief, one might consider a training agenda that is used often by the authors *(Document 7-1)*. The days in this workshop are long and full. The trainers attempt to interweave the various categories of activities (the technical aspects of consulting, interpersonal skills development, and simulated consultation) to provide variety as well as the opportunity for the trainees to practice their interpersonal and consulting skills soon after they learn them. In some instances, a third program level is added—instruction in a specific subject matter area—and, to accommodate it, the consultant training aspects of the program are attenuated.

Individualized Training

Much of what has been outlined in the preceding pages has assumed that the training activity would take place in a group setting with the leadership of trainers. Anyone who is interested in becoming an effective consultant, however, can pursue many of these activities on his own initiative. The general information about the modes of consultation, the stages of consultation, and other specialized information can be obtained easily from this and any number of other publications dealing with the consulting process (see the Bibliography at the end of this volume). While various authors may take different approaches to the subject of consultation, much of what has been written about the consulting process is generally compatible.

The needed analysis of interpersonal tendencies and the development of interpersonal skills can be brought about by careful self-examination. Some (particularly those in an academic setting) may wish to avail themselves of the specialized skills of their colleagues who may be able to administer and interpret simple self-analysis instruments such as those described earlier.

Simulation activities are probably the most difficult to accomplish. While in some rare situations a group interested in consulting may be able to elicit the help of a skilled colleague to conduct such a session, it is more likely that the neophyte consultant who does not have access to formal training activities will establish a mentor relationship. It will be necessary to obtain the assistance of a skilled consultant who is willing to accept the neophyte as a team member. In some cases it may be possible for the mentor to include the neophyte in continuing consulting activity. In such cases, the mentor may feel that the trainee will make a sufficient contribution to the mentor's efforts, thereby justifying the payment of at least the trainee's travel expenses. In other cases, it may be necessary for the trainee to invest his own funds as well as time to obtain the needed experience. Whatever the case may be in a particular situation, participation with others in a consulting experience prior to being "on one's own" offers great benefit in terms of self-confidence, effectiveness, and productivity.

While some good consultants may have been "born," most must be developed. There is no substitute for careful training whether it be through self-instruction or a formalized training program.

Training Clients

Just as consultants are more often made than born, so also is it necessary for clients to learn to use consultants effectively. It is also possible to design training programs to make potential clients effective users of consultant resources. Within post-secondary education, there are several circumstances which seem to make client training particularly critical. The most common of these involves the development of new programs. Consultants tend to play particularly prominent roles in such efforts when a substantial amount of external funding is made available. The most prominent examples of activities of this type are the Strengthening Developing Institutions Program authorized by Title III of the Higher Education Act, the College Science Improvement Program administered by the National Science Foundation, and the various curriculum development efforts supported by the National Endowment for the Humanities. In virtually every grant made under these programs, key roles both in program development and program evaluation are played by external resources. In several cases the program regulations themselves require the use of such external resources—e.g., the assisting agency required by Developing Institutions.

At the same time that substantial amounts of funds become available, it is also clear that institutions which receive funding often are not experienced in the use of external consultants. Frequently this is the case because colleges that require external funding do not have sufficient resources of their own to engage in intensive program development activity, hence they request external support.

The agencies which provide external funding often attempt to help their grantees understand the use of consultants. There is much evidence, however, that clients do not always obtain the fullest value for their consultant dollar. While much of the material contained in this handbook may be useful in this respect, many institutions (and perhaps many public and private grantors) should give serious thought to client training programs.

Those responsible for overall management of large programs involving many consultants may wish to plan workshops for members of their staffs and campus communities who will be responsible for the selection and use of consultants. Such programs might begin with presentations by experienced consultants who can reflect on those things done well and poorly by their clients. Simulations or case studies should be used in which trainees, with the help of a trainer who is an experienced consultant, work through the processes of problem identification and clarification, consultant selection, contracting, preparing for the consultation, and evaluation. The format for training consultants is also appropriate for training clients.

If potential clients are involved in programs which will require them to seek competitive bids as they plan for consultant help, it also will be important to provide experience in the preparation of requests for proposals (RFP). Participants can share proposals with each other and the trainer that have previously been funded or turned down, or can use the workshop to write new proposals or outline several hypothetical proposals.

An additional component of this training program should be a thorough briefing on various program or institution policies regarding such issues as level and payment of fees and conflict of interest—issues which must be resolved to avoid audit exceptions and related problems. Although one person always will be assigned responsibility for final checks of actions in critical areas when a major project is undertaken, a great deal of time and personal frustration can be avoided if those involved with external resources on a day-to-day basis are sensitized to these issues.

Conclusion

The majority of consultants serving colleges and universities have not been trained specifically for their consulting roles. They tend to be "field-trained generals." Their clients are also underprepared to make the best possible use of the services for which they are paying. Training programs for consultants and clients may be simple or complex depending on the time, resources, and trainer expertise available. Those who wish to acquire or improve consulting skills, but for whom formal training programs may not be available, can make use of a variety of self-training activities, including mentorships.

Client institutions which plan to use the services of consultants on a frequent basis as part of the development of a new program or as the result of external funding also may wish to plan special training programs for those who will be responsible for consultant use. Training programs that serve both client and consultant increase the probability of fruitful and satisfying client-consultant relationships.

References

[1] Robert R. Blake and Jane Srygley Mouton, *Consultation* (Reading, Massachusetts: Addison-Wesley, 1976).

[2] William C. Schutz, *FIRO-B* (Palo Alto, California: Consulting Psychologists Press, 1977).

[3] William C. Schutz, *FIRO: A Three-Dimensional Theory of Interpersonal Theory* (New York: Holt, Rinehart and Winston, 1958).

[4] Robert R. Blake and Jane Srygley Mouton, *The Managerial Grid* (Houston: Gulf Publishing Company, 1964). The "Change Agent Questionnaire" is available from Teleometrics International, P.O. Drawer 1850, Conroe, Texas 77301.

[5] William H. Bergquist and Steven R. Phillips, *A Handbook for Faculty Development, Volume 1* (Washington, D.C.: Council for the Advancement of Small Colleges, 1975), pp. 219-22.

Document 7-1

Title: Sample Workshop Design for Consultant Training

Source: William H. Bergquist and Daniel H. Pilon

General Description:

This sample design has been used successfully by the authors to train consultants for work with small colleges. It should be noted that the program is extremely intensive. It is best held in a retreat setting where there are no distractions. If the participants will have competing interests, it clearly would be wise to spread the experience over another day or two.

Sample Workshop Design #1

Duration: Three days

Focus: Development of Consulting Skills

Day and Time	Activity	Brief Description
Day I		
Evening	Workshop orientation	Present rationale for workshop; review workshop schedule and activities
	Theory session—process of organizational change	Presentation on assumptions about change*
	Discussion session-change	Small group discussions on how and why change occurs
Day II		
Morning	Theory session—stages of consultation	Provide an overview of the steps generally involved in the consulting relationship from consultant's viewpoint
	Participants complete FIRO-B followed by group discussion of implications of results	Participants complete the instrument, the session leader gives scoring instructions, then provides a general framework for interpretation of the results; discussion allows participants to obtain clarification of points of interpretation
Afternoon	Simulated consultations (see *Document 7-2*)	Provides consultant trainees with initial exposure to consulting situations; emphasis in the first series of simulations should be on problem clarification and establishing clientship.
Evening	Discussion of simulations	Participants share learnings and hear comments of workshop leaders who chaired the simulation exercises
	Theory session—helping skills	Presentation by workshop leader(s) to assist participants in recalling and reflecting on basic helping skills required of effective consultants
Day III		
Morning	Theory session—the consulting process	Presentation discusses the consulting process on step-by-step basis with emphasis on the *client's* perspective
	Introduction to Helping Trios**	Workshop leader provides a brief introduction to the Helping Trio exercise
Afternoon	Helping trios	Neophyte consultants participate in this intensive micro-experience in consulting; time should be reserved prior to end of session for brief feedback and discussion period
Evening	Simulated consultations	See afternoon, Day II; focus of these simulations would be expanded to entire consulting process
Day IV		
Morning	Discussion of simulations	See evening, Day II
	Theory and discussion session—ethical considerations	Presentation on and discussion of ethical issues related to consulting activity
	Workshop evaluation session	

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*See Chapter 1 and *Document 1-1*.

**See *A Handbook for Faculty Development, Volume 1*, p. 229.

Document 7-2

Title: Sample Situations for Simulated Consultations

Source: Daniel H. Pilon and others

General Description:

The following situations were designed for use in CASC-sponsored consultant training programs. They represent the attempts of staff to bring together a number of interesting elements from a variety of actual consultations.

Simulation I

CHARACTERS (5): The Dean, 3 Faculty Members, 1 Student

The dean has called on a consultant for help. It seems that he and the members of a campus team attended an institute on curriculum development and returned to the college with some really outstanding ideas. They have decided that it would be appropriate for this college of 1,000 students to implement a program combining all of the best in competency-based education with the wisdom of the great books and with the strong concern that students develop the positive attitudes toward work that they saw at Woodrow Wilson College.

The dean is all for change. As one of the progenitors of the new plan, he senses real ownership and can hardly sleep at night for the excitement of it all.

The three faculty are not quite as enthusiastic. The two who attended the institute are more or less "on" the case; they understand the implications but are concerned about the added responsibilities which come from the Great Books type of mentorship. They also have some real doubts about their students' ability to deal with this approach since the median SAT-V is 450. The third faculty member likes things pretty much the way they are. She is on the Studies Committee and feels that everybody wants to tinker with the curriculum, that she and her committee will spend lots of time working on the revisions everyone seems to want and, then when all is said and voted on, the "new curriculum" will be compromised to the degree that it won't vary much from the old one, just as it always has. Frankly, she's tired.

The student wants more career-related courses; he's concerned that he won't find work when he graduates and is giving serious consideration to the thoughts outlined in Carolyn Bird's, *The Case Against College*. That, he says, is a great book in company with the likes of *The Art of Loving*, *Fear of Flying*, and *Popular Mechanics*.

Simulation II

CHARACTERS (7): **The President, the Dean, 3 Faculty Members (Math Professor, Psychology Professor, Director of Nursing Program), the Chairperson of the Academic Affairs Committee of the Board, and a Student**

A college president has asked that a consultant conduct an objective evaluation of the performance of her dean. According to the president, there has been considerable complaining about the dean's ability to provide academic leadership. The board of trustees is concerned as are a number of the faculty. Frankly, the president would prefer that the evaluation be conducted quietly and is willing to create a cover story to mask the consultant's presence to all involved (except of course, herself, the board, and maybe a couple of the key complainers among the faculty). She suggests that the consultant come as someone who is doing the groundwork for the feasibility study necessary prior to a capital fund campaign.

Among those the consultant will be talking to will be the dean, a nice old fellow, the three faculty members (including the person who has been director of the nursing program for 23 years; a young professor of psychology who believes that the cards are stacked against him in his upcoming tenure decision; and a math professor who has tenure, is well accepted, and who has been at the college for 15 years.)

Arrangements also have been made for the consultant to talk to the chairperson of the academic affairs committee of the board who has been working secretly within the board to get the president fired, and a student who is head of the student government organization.

Simulation III

CHARACTERS (5): The Director of Institutional Research, the President, the Dean, and 2 Faculty Members

The director of institutional research has come to a consultant for help. She is very aware of the need to do planning in a democratic way. This venerable old school with strong traditions appears healthy, and many feel the present system shouldn't be tampered with.

The present management system involves a budget which is closely held by the president and treasurer. Even the dean admits he has never seen it. When pressed on the issue, the president says she doesn't feel faculty need to be bothered with such trivia which in fact may interfere with their main responsibility of teaching.

The two faculty are very concerned. Things may not be as they seem. It appears that the quality of students is decreasing. The director of institutional research *knows* it is. In the past seven years, SAT-V median has dropped from 570 to 480.

The dean is a little bewildered by all this fuss. After all, the president has known best for the past 28 years. Why not just do as she says?

The president has authorized a consultant who is to help improve the management information system. At the same time, however, the president has made it clear to the director of institutional research that the output of the system is never to be disseminated to anyone but the president herself and the treasurer.

CHAPTER 8

Values and Ethical Considerations in the Consulting Relationship

Introduction

The previous chapters have described various stages in the consulting process in an effort to provide both client and consultant with skills, techniques, and procedural guides for their mutual enterprise. Both the consultant and the client also must keep clearly in mind, however, the fact that consultation is a distinctively human activity. Because human relationships are at the core of the consulting experience, some consideration must be given to the standards of conduct which govern those relationships. The basic values critical to the consulting relationship and ethical considerations flowing from them are apparent to most people. These are the human values applicable to any human interchange. Nevertheless, the authors have encountered substantial concern about this issue, especially among consultants who are new to the trade.

This chapter reviews some of the basic values which we believe are essential to effective consulting relationships. Their practical application to specific problem areas is also discussed. The first section of the chapter deals with such basic values as honesty and integrity, prudence, and confidentiality. The discussion of these values includes reflection on their practical implications in the consulting process. The second section of the chapter deals with a number of specific issues that have been troublesome to both clients and consultants. These include dependency building, the tendency to use people (consultants and clients alike) as scapegoats, the consultant's role in institutional decision making, the unintended discovery of critical (though tangential) problems, and the use of consultation as a recruitment/job hunting methodology. There are many other issues of concern in addition to those discussed in this chapter. However, we believe that the consultant who is guided by the basic principles set forth in the following paragraphs will possess an adequate framework within which to deal with these issues.

Honesty and Integrity

Like many successful human relationships, the consulting arrangement must be based on a high level of mutual honesty and integrity. For the client, this begins when he assesses the nature of the problem. The client who deliberately misstates what is to be done or what is needed places the consultant in an impossible position. For example, a consultant may be invited to assess a program, when in fact the real purpose of the visit is to pave the way for the removal of a political adversary.

On the consultant's side of the ledger, the honest consultant would never misrepresent his ability to meet a specific need, nor would he misrepresent the possible outcomes a client might reasonably expect. Unfortunately, there is a tendency among some who serve in consulting roles to attempt to develop expertise in new areas at their client's expense; just because one has expertise in general approaches to institutional planning, he probably should not presume to offer services in specific technical aspects of financial planning unless he does indeed have those skills.

Similarly, it would seem to fly in the face of honesty to promise (or at least to intimate to) a client that specific goals in areas such as fund raising or student recruitment are almost guaranteed when in fact they are possible only in the unlikely event that all of the most favorable possibilities can be brought together. Yet, the fact of the matter is that any number of disgruntled clients blame failure to obtain objectives on consultants while the consultants shrug off a client's failure to attain goals by upbraiding the client for his lack of commitment. The truth probably lies somewhere in the middle; expectations, claims, and promises should be tempered with reason and an honest assessment of what is possible.

Honesty and integrity also have a role to play during and after consultation. Unless the client is open with the consultant during the consultation, there is little likelihood that the consultant can be of much use. A comparison might be drawn with the patient who consults a physician but then withholds critical information about his symptoms out of fear or some other reason. The resulting diagnosis and course of treatment may be altered significantly and detrimentally as a result. In the end, the patient may blame the physician for the unhappy result. Unless the client provides the information the consultant needs, there is a great likelihood that the consultation will be unsuccessful.

Just as it is essential for the client to deal openly with the consultant, so is the client entitled to a similar expectation of the consultant. It is reasonable to assume that the consultant, while respecting confidence entrusted to him, will report accurately what he observes. It is inappropriate to varnish the truth in the hope of maintaining the client's favor with the expectation that the relationship will continue to profit the consultant. The matter of building dependency is closely related to this issue and will be discussed at greater length later in the chapter.

The consultant should be careful to state the situation accurately. Accuracy, however, is not synonymous with tactlessness. Truth can be administered most often in a kind and tactful way. In addition, if there are problems, the consultant should not lay the blame at the feet of the client, especially if the consultant's failure or inadequacy impaired results. Similarly, it would be just as improper for the client to blame the consultant for a failure which may be the result of the client's reluctance to provide necessary information or failure to expend maximum effort to work through the steps which the consultant and the client may have agreed are critical to the resolution of a situation. Unfortunately, in providing a reference for a consultant, some clients describe their own failures, rather than the consultant's performance. Such unfair ratings can stand in the way of the consultant's attempts to work with future clients. It is just as unfair for the consultant to lay the blame for his own failure at the feet of his client when describing his ability to be useful to others. Certainly the consultant must provide the services he promised. And the client must be prepared to follow through on the bargain by providing prompt payment for services rendered.

Prudence and Confidentiality

Closely related to the values of honesty and integrity are prudence and a commitment to confidentiality. If the consultant and client have a right to expect candor of one another, they also have the right to expect mutual respect and confidential treatment of information which was given freely. The issue of confidentiality probably proves to be most difficult for consultants. A consultant must assume that all information gained is to be held as a trust unless a specific exception has been made. This respect must extend from information and opinions about the general health of a client institution to the specific information which may be gained from members of a college or university in the course of interviews conducted in an effort to gain perspective on the nature of a problem.

The problem that surfaces most often with respect to confidentiality has to do with the critical balance between use of information obtained to deal with the problem at hand and respect for the confidentiality of the information's source. The dilemma concerning the use of confidential information arises frequently and is not easily resolved. An obvious solution is the use of information in a general way without alluding to its source. When a large number of contacts have been made, this may be a practical solution. It often appears that there are many possible sources from which a particular bit of information may have come, thereby minimizing the danger of revealing a source. The seasoned consultant realizes, however, that the information itself or the manner in which it is expressed by the person providing it may reveal the source. The ethical consultant is sensitive and will ask his client or audience to inform him early on—e.g., when he sees a draft of the final report—if a source is obvious.

When the number of possible sources is small, the consultant's problems are compounded. If the consultant has obtained information from only a handful of people, it is virtually impossible to report that information without compromising the source. Some consultants deal with this issue by obtaining clearance from the source. "I know you gave me this information in confidence," the consultant may say, "but I believe it is critical that your comments be included in my report. I also know it is likely that no matter how cleverly I may attempt to mask those comments they will be traced back to you. Knowing that, may I have your permission to use the information?" If the answer is affirmative, the problem is resolved—though it is reasonable to expect that the consultant still will make every effort to not jeopardize the provider of the information unnecessarily. If the response is negative, the consultant must seek another approach or forego use of the information. One technique sometimes used to mask sources of critical statements is couching the information in terms which make the source external to the client institution. "Often," the consultant may report, "when this situation exists in other colleges, there tends to be a great deal of suspicion regarding the motives of the dean." In this way, the consultant can make his point or raise an issue, and still protect the few faculty members who indicated to him that the motives of the dean were indeed suspect in the client institution.

Confidentiality has another implication for the consultant. There is a tendency when dealing with clients to apply other situations with which the consultant may be familiar to the problem at hand and to cite solutions that may have been helpful elsewhere. It is one thing to note that the problem does exist in another setting, but to indicate that another client (specifically identified) may also have the same problem may be a breach of confidence especially if the institution in question is made to appear in a less positive light. As noted in Chapter 2, the frequent referencing of problems at other institutions may demean the significance and unique nature of the client's problem. Telling tales of success from one client to another may represent as big a breach as giving negative reports. This may be particularly true when the institution whose efforts are being discussed is a competitor of the present client. Just because one college is miles from another does not eliminate the possibility that there may be a competitive relationship.

While confidentiality has implications for the consultant, the client also has responsibilities even though they may appear less obvious. The client must recognize the consultant's obligation to his information source. Serious ethical questions are raised when a client, through probing questions and other devices, seeks to extract information from a consultant which really should not be made available. The experienced consultant will recognize this tactic and will point up the problem and refuse to divulge the information. Less experienced consultants, however, may be tempted to make such information available to curry the favor of the client or to demonstrate his value to the institution.

In the long run, the successful consultant who has developed a high degree of prudence combined with personal integrity will work his way through the maze of difficulties surrounding this issue. The consultant who is short on personal integrity, prudence, or the ability to regulate and discipline himself through the careful exercise of reason will find that while he may enjoy success initially, it will be short-lived. Similarly, the institution or client who respects these principles will find that consultants can be of immense use.

Building Dependency

When a consultant becomes involved with a client, it is generally assumed that the relationship will be of a given duration to solve a problem or resolve some condition. There are, of course, exceptions to this such as when the client simply needs an external confidential sounding board. However, in the majority of cases, the relationship should be finite; in fact, as noted in Chapter 2, one of the central responsibilities of most consultants is to work themselves out of a job.

When one's livelihood is consultation, continuing relationships represent the opportunity for a stable income. This is particularly true when the consultant is not established and is actually seeking potential clients. This consultant may be tempted to prolong the consulting relationship, perhaps beyond the point where it is productive for the client.

Dependence may be fostered in many ways. Some consultants accomplish it by performing tasks *for* the client rather than helping the client learn to perform them himself. It should be noted that there are occasions where this mode of operation is necessary and desirable. A consultant may be retained to design a computer program in lieu of the client's entering into a long-term relationship with a computer programmer as full-time employee.

Another approach involves looking for new tasks as the ones for which the consultant was retained near completion. "You know," says the consultant, "now that we've resolved this issue, we may want to move on to issue X." This may be appropriate, and the consultant may be performing a needed and useful service by making such a suggestion. We suggest, however, that the consultant carefully examine each relationship and his own motives with respect to the continuation of that relationship. In a very real way the issue of honesty and integrity comes to the forefront.

Scapegoating

As part of their religious ritual, the Old Testament Hebrews annually wrote out their sins and failings, tied them to a goat, and sent the unfortunate creature off into the desert. This symbolic gesture provided a needed release from sinfulness and the opportunity to begin anew in a better fashion. One wonders how willing the goat was to perform this task.

Often, the consultant may perform difficult tasks for a client and then depart the scene. It may be convenient for the client to lay the difficulties which may ensue from certain hard decisions on the back of the consultant and find solace and the chance for renewal as a result. There are occasions when this may be desirable, and some consultants encourage such a process as part of the program of problem solving or development which they bring to the institution.

We are concerned, however, about the occasions when the consultant departs as the unwilling instrument. Usually, the prudent consultant will not make decisions for his client, and hence, will not allow himself to be used as a scapegoat. Rather than make decisions, he will assist the client to discover and lay out options. He may even help the client assess the available options. But he should stop short of making the decision, for unless the decision is the client's and the client acknowledges ownership of that decision, its impact will be lessened.

Involvement in Client Decision Making

We believe the client ultimately must make the decision to act or not to act even though many clients would prefer to have the decision and the responsibility for that decision rest in the hands of the consultant. The consultant, no matter how expert, cannot know the situation as well as those who live with it on a daily basis. This is particularly true of the consultant who is brought in for a few days to look at a problem situation or to evaluate a particular program or project.

For a consultant, after a brief look, to recommend that a program or a person be terminated does not seem wise. The consultant may suggest termination as an option, but for him to be placed in the position of recommending major changes with significant ramifications for either an organization or a person is rarely prudent. The consultant may lay out the options and help the client work through the implications of their implementation, but the prudent consultant will stop short of making the decision for the client and the wise client will realize that such decisions can be made only by himself or others in his institution.

Skeletons in the Closet

The skeleton in the closet presents itself occasionally to all consultants. We refer to the situation where a consultant is working with a client on one issue and in the course of the consultation comes upon another unrelated but significant problem. For example, a consultant helping an institution design a new program might discover that a party to that project is involved in a situation of questionable propriety or even legality. While not directly related to the topic of the consultation, the situation may have ramifications for the institution as a whole. What if, for example, in the process of designing a computer program for a college business office, a consultant discovers evidence of embezzlement?

There are several ways in which to deal with such an issue. Some consultants believe that they should not become involved and, in fact, assume that such an issue is outside the relationship with the client institution. Returning to the issue of clientship raised in Chapters 2 and 5, others would suggest that the institution is the client and that some effort must be made to bring the problem to light. This might be done by suggesting steps which are guaranteed to bring that about. The consultant might suggest a change in reporting procedures or a system of internal audits. Another approach might involve bringing the consultant's suspicions to the attention of the perpetrator in a way that would make him less likely to continue, if in fact there is an irregularity.

Other similar problems may involve personal issues. A person's actions or habits may seem to the consultant to be potentially embarrassing to the client institution even though they may not be of questionable legality. Some of the options available for dealing with confidential information cited earlier in this chapter may be helpful. However, the consultant also should realize that, more likely than not, someone within the institution is aware of the problem already.

Consultation and New Employment

A final area of debate surrounds the use of the consulting relationship by the client to recruit new personnel, or by the consultant to find a new job. In many situations, this is a normal and acceptable process. Some individuals who consult in such areas as financial development and student recruitment eventually are employed by a client. Such an outcome is legitimate as long as both parties realize that this is possible and are aware of probable biases in perspective and action.

Difficulty in the recruitment/job seeking area comes when the individual involved as a consultant is on loan from his home institution. The case involving a member of an accreditation visitation team might provide useful. It would be unseemly for a person in such a role to intimate that he is available for employment to resolve the problems which may come to light in the process of an accreditation review. The Southern Association of Colleges and Schools specifically mentions this as unacceptable in its listing of principles for members of examination teams.

When a home institution makes a consultant available as a service to another institution as in the case of an accreditation visit, or through such a program as the CASC National Consulting Network, the host institution would be doing the home institution a disservice if it used the visit as a tool to lure away a staff member. Only if there is a clear understanding from the outset on the part of all involved that a consultant might be hired on a permanent basis should the consulting relationship be allowed to develop to the point of a change in employment.

Conclusion

The role of the consultant is not an easy one. It is complicated by thorny ethical issues. Assuming good will and integrity on the part of both client and consultant, consultation can be ethical and honorable. When ethical considerations are ignored to foster personal gain, whether it be financial or ego-related, for the consultant or the client, consulting becomes suspect as something less than an honorable profession. Given the great potential of consultation to assist colleges and universities to address central problems and provide invaluable educational services and programs, it is particularly incumbent on both clients and consultants to act responsibly and ethically in serving the general good.

Document 8-1

Title: Ethical Principles for Consultants and Clients

Source: Daniel H. Pilon and Patricia Kay Brian

General Description:

Many involved in consulting relationships both as consultants and clients frequently express concern about the ethical implications of their activities. The two sets of principles offered in this section attempt to address some of the most common concerns of both parties. The material has been drawn from the experience of the sources, as well as from the review of many codes of ethics prepared for consultants and clients operating in a variety of professional areas.

Principles for Consultants

The consultant

- acts with the highest degree of personal honesty and integrity and encourages these qualities in others.
- discusses confidential information about individuals and institutions only within the confines of the consulting relationship and relationships with the National Consulting Network staff.
- promptly informs institutional personnel with whom the consultant is dealing when a problem or need is beyond his/her expertise.
- recognizes and respects the individuality of the persons and institutions served. In that spirit, the consultant actively directs his/her efforts toward helping an institution clarify its needs and explore possible solutions and alternatives while realizing and emphasizing that there is no "one best answer" for all situations.
- works to understand the host institution's mission and goals in suggesting alternative courses of action, without pressuring the host institution to adopt particular changes, or to accept personal approaches or techniques.
- is positive and constructive in approaching, identifying and helping to resolve problems, particularly as he/she identifies personal and institutional strengths and weaknesses. Among the highest priorities of the consultant should be the promotion of unity among those persons involved in the consulting process.
- is as objective as possible in the reports submitted. Names and personalities should be avoided in preference to job descriptions and functions whenever possible. Reports should be submitted in a timely fashion.
- promotes growth of the consultant and his/her home institution as well as the host institution. At the same time, however, the consultant avoids any exploitation of the host institution for personal advantage. The consultant does not use the consulting relationship to recruit personnel from the host institution nor does he/she use the relationship to suggest him/herself for possible job opportunities.
- gives the host institution full benefit for a full day's work for each of the specified number of days.

Principles for Institutions Using Consultants

The personnel of the host institution

- conduct themselves with the highest degree of honesty and integrity in their relationships with the National Consulting Network and with consultants.
- define clearly the client(s) the consultant is to serve within that institution. Special attention will be given to establishing the person(s) to whom reports will be sent.
- accept their responsibility and search actively, with the help of the consultant, for a resolution which is best for their individual institutional situation.
- prepare for the consultant's visit by making pertinent information available to the consultant prior to the visit; informing appropriate personnel of the times and purpose(s) of the consultation; and arranging meetings for the consultant with appropriate personnel.
- do not use the consultant as a scapegoat for the failure to solve complex problems.
- are open to the insights and suggestions the consultant offers.
- prepare evaluations of the consultant(s) in an objective and timely manner.

SECTION THREE: APPENDICES

Glossary

Attitudinal intervention: a purposeful and planned attempt to change or stabilize a predisposition (belief, value, perception, expectation) of one or more members of a client system to respond toward a particular person or group of persons, a particular object or group of objects, in a favorable or unfavorable manner.

Client/client system: the person or group (client), organization, or institution (client system) that is being assisted by a consultant; more precisely, the person or small group who/that has specifically requested or been given responsibility for the selection of a consultant and/or the coordination of the consultative effort.

Consultation: the process of assisting a person, group, organization, or institution in the identification and analysis of problems, and in the confrontation of these problems through planning and implementing a specific course of action.

Contracting: establishing (and frequently reviewing and modifying) an explicit agreement or understanding between a client and consultant regarding the nature and scope of a consultation, expectations concerning the probable and desirable outcomes of this consultation, and the nature of the relationship between the client and consultant.

Convening problem or need: the central concern or circumstance that has immediately precipitated the client's request for consultative assistance.

Cross-impact analysis: a procedure for the systematic assessment of the extent to which the occurrence or success of each of several programs or events will tend to increase or decrease the probability that the other programs or events occur or are successful; or the way in which each of several programs or events will tend to influence the nature and/or scope of other programs or events.

Entry: the initial (and often extended) contact between the client and consultant, this contact often focusing on the tasks of defining the convening problem and establishing an effective working relationship.

Entry client: the person or small group that makes the initial contact with the consultant; this person or small group may or may not serve in a client capacity beyond the entry stage of consultation.

Facilitation/facilitative consultation: assisting an individual, group, organization, or institution (client system) in the accomplishment of goals that have been established by the client system; the facilitator usually focuses on the processes whereby the client system accomplishes its goals, and on personal and interpersonal influences on and outcomes of these processes.

Force field analysis: a procedure for the systematic assessment of existing or potential factors (people, events, resources, images, etc.) that can or will help or hinder the accomplishment of a specific goal or goals.

Intervention: entering into a purposeful relationship with an individual, group, organization, or institution (client system) to assist the client system actively in the solution of a specific problem or set of problems—the action-oriented stages of a consultation.

Morphological analysis: a procedure for the systematic assessment of alternative designs for a new program or alternative conditions to which a new program must be responsive.

Process intervention: a purposeful and planned attempt to change or stabilize the ways in which one or more members of a client system operate(s) within this system and/or relate(s) to other people in the system.

Structural intervention: a purposeful and planned attempt to change or stabilize the formal design (size, spatial arrangements, schedules, organization, etc.) and/or rewards (salaries, benefits, personnel review policies, hierarchy, prestige, etc.) of a client system.

CASC National Consulting Network

As noted in the preface, an important part of what has been presented in this volume evolved with the Council for the Advancement of Small College's National Consulting Network for Liberal Arts Colleges. This appendix traces the background and early history of the Network and briefly outlines its operating procedures. The development of the Council itself provides the context for the Network's development.

From its earliest days in the 1950s, CASC was (and has remained) primarily a self-help organization. The Council came into being as a direct result of the concern of the leaders of 54 small independent colleges. Their colleges had been unable to attain regional accreditation. While they were unaccredited for a variety of reasons, the outcome was the same; they were not eligible for a number of forms of external financial assistance. The college leaders who would found the Council were confronted with an irony worthy of "Catch-22." They were unable to become accredited for reasons which in virtually every case could have been resolved if significant financial resources were available; yet frequently they were not considered as potential recipients of major external support precisely because they lacked accreditation.

The organization was founded in the hope that by helping one another, and especially by sharing their experiences and their human resources, the member institutions would achieve the goal of accreditation. The strategy was successful; all of the original members were accredited. But the initial expectation that when that day arrived the organization would have served its purpose and could lapse, did not hold true. The organization has continued to prosper. Its membership has grown to include a wide range of liberal arts colleges nationally and, while all of the members are now accredited (ironically, accreditation is now a criterion for membership), the self-help principle has become a mainstay of the organization's programs and services.

The National Consulting Network was intended as a device to formalize the self-help process as it relates to on-campus consultation. The concept of a consulting network was presented to the W. K. Kellogg Foundation as part of a package of activities described under the general heading of administrator development. In 1976, the foundation provided a grant of $161,150 to underwrite the planning and implementation of the Network and to support its work until it would become self-supporting. An additional modest grant was provided in 1977 by the Ford Foundation. The Network is now incorporated into CASC's general operating budget.

During the early months of 1976, the original version of the taxonomy (see *Document 6-1*) was developed, and initial mailings were sent to the presidents and deans of CASC member colleges inviting them to nominate persons who were experts in their fields and who possessed strong interpersonal skills. More than 200 names were recommended.

At the time, a staff, consisting of a director and program assistant, joined CASC. Their initial months were devoted to the development of systems, forms, and procedures designed to insure that the relationships arranged by the Network would be successful. The Network actually began providing service late in 1976.

An important part of the project was the development of a series of training activities to prepare neophyte consultants for their new roles. These were important because, from the outset, the project was designed with the assumption that while service to institutions was certainly important, the personal development of those serving as consultants was also critical. To help accomplish the latter aim, workshops were designed and an intensive evaluation program was implemented to insure that neophyte consultants would receive useful feedback about their efforts.

From the beginning, the Network served an ample number of clients. There was, however, some fear that people from similar "member" institutions might not be as helpful as the nationally known experts who had come to play an increasingly important role in the work of the Council during its second decade. For the most part, the effective consultation provided by Network consultants dispelled this concern and a pattern of repeated use by satisfied clients developed. As a rule, once a skeptical first-time client made use of the resources of the Network, the client became a supporter of the program.

Among the early goals of the Network was to provide low cost consultation. The decision was made to provide Network consultants an honorarium, a term specifically chosen because the $60 per day plus expenses paid to consultants could hardly be considered a fee. The rationale for this approach was that virtually all of those who served as consultants received full-time salaries, and their institutions made them available for occasional consulting assignments without "docking" their pay or requiring them to use leave time.

The commitment to low cost was also founded on the belief that CASC member institutions had limited resources and might not take advantage of needed outside help unless they could obtain it at considerably less than the market price. Hence, member colleges were charged $75 per day and non-CASC member institutions, $100. The difference between the charges to the institutions and the honoraria paid to the consultants was retained to partially defray the cost of the Network.

After designing and implementing the basic system of operation, the Network staff found themselves in several roles. In addition to working to make the existence of the Network as widely known as possible, they assumed the role of problem clarifiers as they worked with potential clients. If there has been a lesson throughout the Network's brief history, it is that clients do not always have a clear understanding of the nature of the problems on which they seek assistance. In light of this experience, it is little wonder that such a large portion of this handbook has been devoted to issues surrounding problem clarification and determination of clientship. Network staff also are involved in a continuing process of recruiting new resource persons who are willing to serve as consultants. There are always new areas in which colleges are seeking help and for which few, if any, resources exist.

All of CASC's programs and services are subjected to rigorous, objective evaluation. When the project began, the Network entered into a relationship with Formative Evaluation Research Associates of Ann Arbor, Michigan, to provide both formative and summative evaluation of the project during its early stages. The final report (which is available from FERA) provided strong encouragement with respect to the success of the project. Using a six-point scale for measuring overall client satisfaction (see *Document 5-3*, Institutional Evaluation of the Consultation), only two clients in the course of more than 30 months of operation have reported a satisfaction level as low as "somewhat dissatisfied."

The initial success of this project (in 30 months, it has provided more than 800 days of on-campus consultation) may be attributed to several factors. The clients clearly appreciate access to persons with knowledge and expertise in parallel situations. The consultants, most of whom are neophytes, appear to be committed to extending themselves considerably to perform thorough and effective work. The Network staff have taken the time to insure that all arrangements truly reflect the institution's needs and that the consultants recommended do in fact have the necessary skills.

As a conclusion to this appendix, we provide below a step-by-step description of the Network process as developed and used by the CASC Consulting Network. The process includes eight steps.

1. The client calls the Network office and outlines the problem. To the extent necessary, Network staff work with the client to clarify and occasionally to recast the problem presented. In a number of cases, staff ask the client to obtain and provide additional descriptive information to insure that the problem is stated as accurately as possible. This process involves as many telephone conversations as necessary to clarify the problem.
2. Using the information obtained in the first step, Network staff search their resource files to identify those consultants most qualified to assist. When insufficient resources are available, staff attempt to recruit additional resources. If this is unsuccessful, the client is informed immediately and advised to seek assistance elsewhere.
3. The resources identified in the second step are telephoned by Network staff to confirm their interest and availability, and to provide a review of the problem to doublecheck the consultant's ability to provide the help needed.
4. The Network staff recontacts the client and recommends a group of resource people. Simultaneously, copies of the resource persons' resumes, along with the consulting agreement (see *Document 5-2*), are mailed to the client.
5. The client interviews the proposed consultants, makes his selection (if he finds none of them suitable, the process is recycled to step two above), and contracts with the consultant using the consulting agreement form.
6. The client sends the honorarium to the Network office along with the completed contract, and the consultancy begins.
7. On completion of the consultation and all related matters—e.g., reports and the like—the Network office disburses the honorarium to the consultant and conducts an evaluation of the consultation using the forms contained in *Document 5-3*.
8. The evaluations are received by the Network, reviewed, and, if permission has been granted, shared with the client and consultant. Then the case is closed.

The CASC National Consulting Network has been successful because of the service-minded approach of those who share their expertise and because sufficient funding has been available to provide the level of staff assistance which is essential to make careful matches.

The Network continues to have a bright future. There are a number of potential new avenues for service which will continue to be explored. Among them are the development of a materials bank and occasional use of consultants from the corporate world. Readers who would like more information about the National Consulting Network are welcome to review the final report mentioned earlier in this appendix or to contact CASC directly for further information.

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